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SAF/AQT-SR-90-016

# Abridged USAF STINFO Program Manager's Overview Manual

August 1990

United States Air Force  
Scientific and Technical Information Program  
Management of STINFO

USAF STINFO MANAGEMENT 90/9



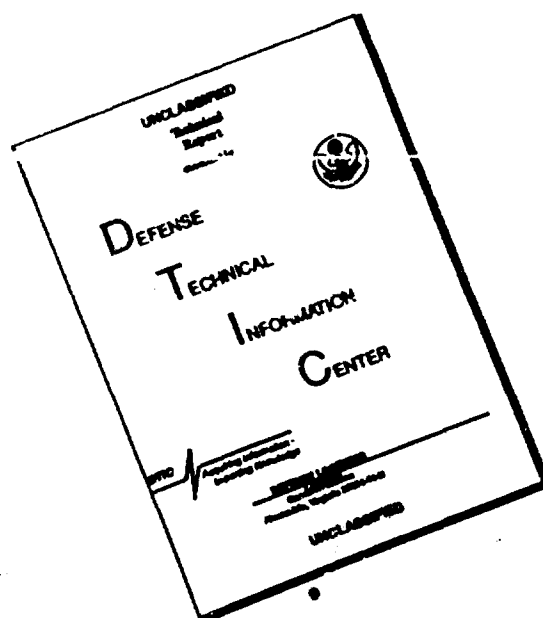
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**12b. DISTRIBUTION CODE****13. ABSTRACT (Maximum 200 words)**

This manual is an abridgement of document SAF/AQT-SR-90-001, "The USAF STINFO Program Overview." It also includes updated STINFO management information, and can be used in conjunction with the earlier document. This Abridgement gives guidance to the local STINFO Program Manager concerning responsibilities for managing the flow of STINFO out of and into the local organization. The overall objective of the USAF STINFO Program Manager is to support the DoD Scientific and Technical Information (STI) Program, in order to increase the effectiveness of the scientific and technical efforts of the DoD community.

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**Abridged USAF STINFO  
Program Manager's Overview  
Manual**

**August 1990**

## Topics Covered in Briefing

1. Introduction
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3. The USAF STINFO Program
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- F. Sample DTIC Form 55 (Request for Limited Document)
- G. Sample DD Form 1423 (Contract Data Requirements List)
- H. Sample DI-MISC-80711 (Data Item Description)



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## **1. Introduction**

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**You produce and use STINFO. The STINFO office manages all STINFO materials coming into and leaving an organization. Therefore, it is in your interest to find out what these folks do!**

### **Briefing Objective**

The objective of this briefing is to familiarize you with the functions and operation of the Air Force Scientific and Technical Information (STINFO) program.

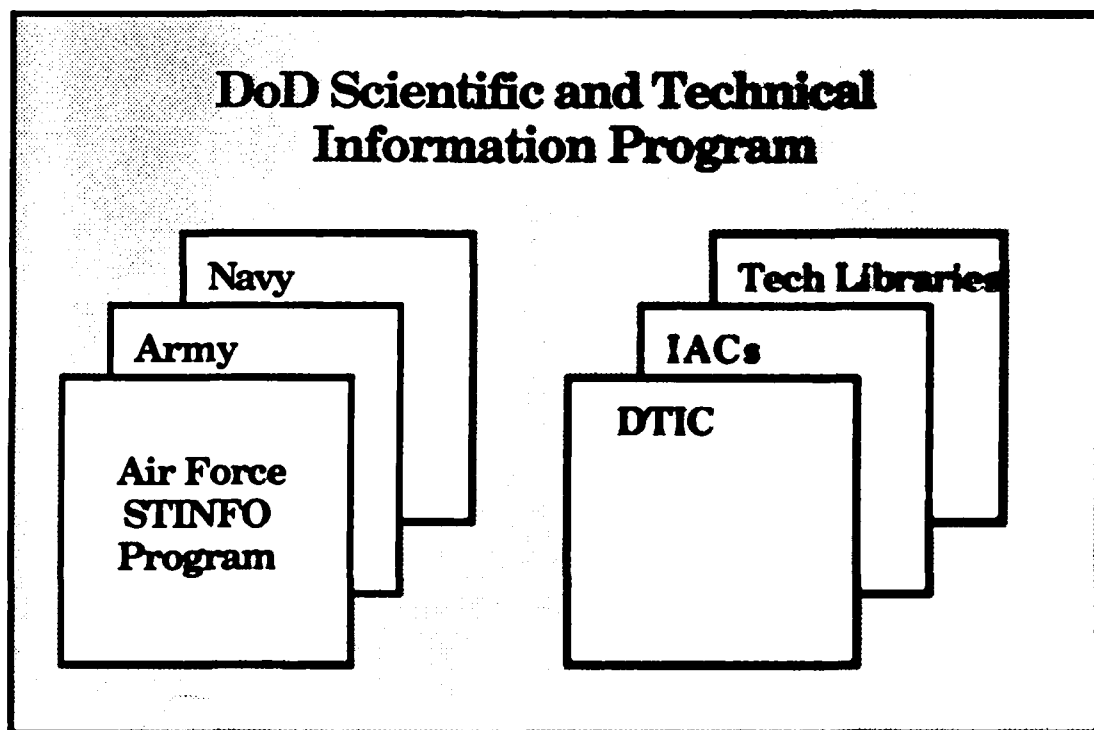
Your local STINFO Program Manager is responsible for managing the flow of STINFO out of and into your organization. The main components of this program center around various aspects of acquisition, storage, retrieval, and dissemination of scientific and technical information. If you are either a user or producer of technical information, you probably have had some contact with this office already. The purpose of this briefing is to help you become a more effective user of STINFO services by examining what this office does and how it does it.

## 2. The DoD Scientific and Technical Information Program (STIP)

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There is a DoD-wide Scientific and Technical Information Program and the AF STINFO program is part of it.



## **Key Points**

- The DoD STIP is the information 'umbrella' under which all other military information programs, including the USAF STINFO program, operate.
- The concepts and responsibilities of the DoD STIP are outlined in DoD Directive Y2000.12.
- In addition, the functional responsibilities of both the Deputy Assistant Secretary of Defense for Research and Engineering and the Heads of DoD Components are specified in the enclosures to DoD Directive Y2000.12.
- Because the USAF STINFO program exists in support of the DoD STIP, the goals of the DoD STIP are the goals of the STINFO program. As such, a knowledge of these goals should help in understanding why many aspects of the STINFO Officer's duties are being carried out.

## **Objective and Responsibilities of the DoD STIP**

The overall objective of the DoD STIP is to increase the effectiveness of the technical effort in the DoD community. The primary goals of the STIP are to ensure that DoD scientific and technical information:

1. Provides maximum contribution to the advancement of science and technology.
2. Permits timely, effective, and efficient management of DoD research, engineering and studies program.
3. Eliminates unnecessary duplication of effort and resources.

The responsibilities for carrying out the DoD STIP are divided between (1) the Deputy Assistant Secretary of Defense for Research and Engineering and OSD Staff - having supervision, coordination, and review functions, and (2) the Heads of DoD components - having specific functional responsibilities.

Of these two sets of responsibilities, clearly the second set are of the greatest interest because many of the STINFO Program Manager's duties are in support of these responsibilities.

There are 10 specific responsibilities listed for the Heads of DoD Components. Six of these responsibilities are very relevant to the STINFO program and, as you will see shortly, are part of the STINFO Program Manager's duties. These responsibilities (paraphrased slightly) include to:



1. Maintain a current review and inventory of STI functions and activities under their administrative control.
2. Encourage the sponsorship and participation in technical symposia and meetings as a mechanism for STI transfer and exchange.
3. Execute technology transfer programs and assign a single points of contact to coordinate their technology transfer programs.
4. Ensure that all significant scientific or technical results derived from DoD work or contracts are recorded as technical documents. Procedures shall ensure that copies of these documents are available to DTIC, technical libraries, IACs, and the technical community within established security and limitation controls.
5. Operate and support activities for the input of data to DoD databases of bibliographic and R&E program-related information, and be responsible for the accuracy and currency of database content and reporting.
6. Within security and distribution limitations, policies, and guidelines, ensure that STI is provided for public use in an unclassified manner to the maximum extent possible.

## **Documentation**

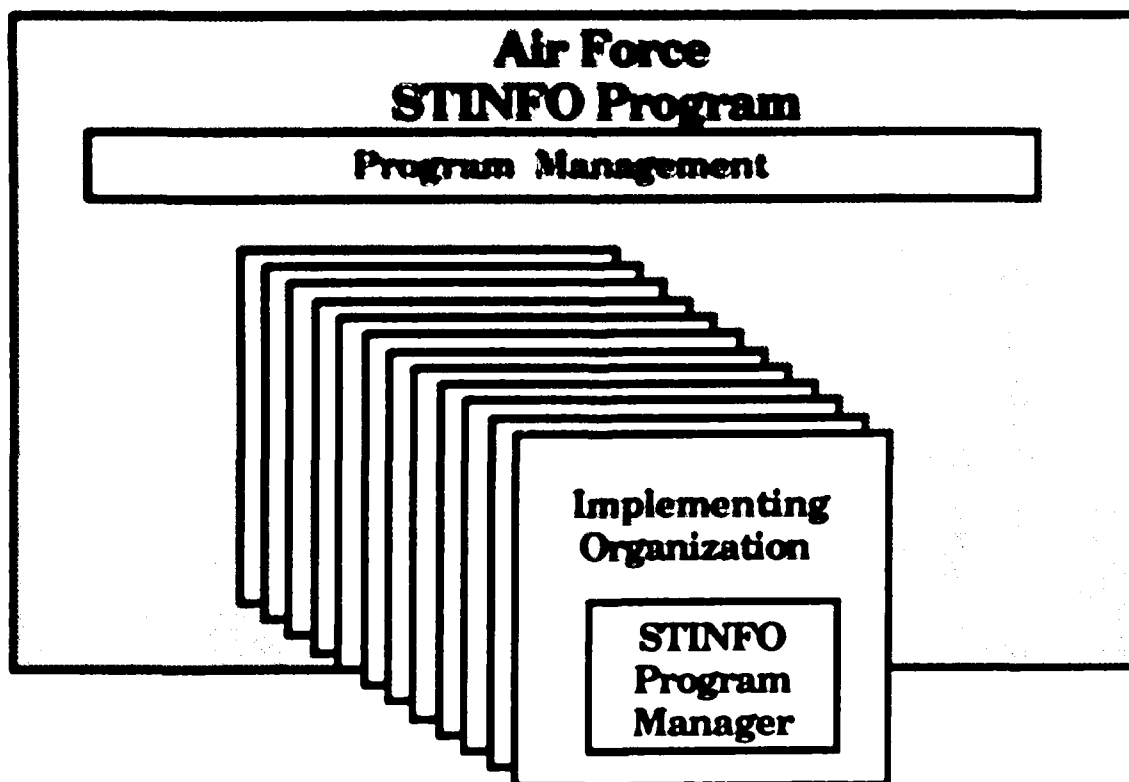
The only documentation in support of the DoD STIP to be aware of is DoD Directive 3200.12, ***DoD Scientific and Technical Information Program***.

### **3. The USAF STINFO Program**

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**AF Reg 83-1 governs the STINFO program and assigns responsibilities to (1) a STINFO Program Manager, (2) each Implementing Organization, and (3) the STINFO Program Managers.**



## **Key Points**

- The USAF STINFO program is an implementation of DoD Directive 3200.12.
- The governing regulation for the USAF STINFO program is AF Reg 83-1.
- AF Reg 83-1 contains:
  - A description of the USAF STINFO program.
  - Participation requirements for the program.
  - Lists the Program Management duties and responsibilities.
  - Lists the Implementing Organization responsibilities.
  - Lists the STINFO Program Manager duties.

The USAF STINFO program is an integral part of the DoD STIP, implementing the Air Force's duties and responsibilities as laid out by DoD Directive 3200.12. AF Reg 83-1 is intended as an overall guide to the program, its concept, participation, and responsibilities at the three levels of (1) Program Management, (2) Implementing Organization, and (3) STINFO Program Manager within an activity.

## **USAF STINFO Program Objectives and Goals**

The overall objective of the USAF STINFO program is to ensure that all STINFO generated under Air Force RDT&E programs makes the maximum impact on DoD and national R&D efforts. To carry out this objective, the program provides for the interchange of scientific and technical information within and among Air Force organizations, DoD components, federal agencies, government contractors, and the national and international scientific and technical community.

The specific goals of the program are to:

1. Improve mission effectiveness.
2. Improve the scope and effectiveness of collecting, producing, disseminating, and applying scientific and technical information. The overriding priority is to ensure that all scientific and technical data concerning Air Force research, engineering, and production efforts are reviewed for controlled dissemination, and are rapidly and effectively exchanged within the research, development, and engineering communities throughout the DoD and industry.

3. Support the information needs of managers, scientists, engineers, and technicians.
4. Increase productivity and effectiveness of research and engineering programs.
5. Improve our military capabilities through research and application of new technologies
6. Maximize use of R&D resources
7. Facilitate domestic technology transfer

### **Participation in the USAF STINFO program**

Participation in the USAF STINFO program is Air Force wide and is required by the following organizations

1. Air Force Systems Command
2. Air Force Space Command
3. Air Force Logistics Command
4. Electronic Security Command
5. Air Training Command
6. Air University
7. Air Force Academy
8. Military Airlift Command
9. Strategic Air Command
10. Tactical Air Command
11. Air Force Communication Command
12. Air Force Operational Test and Evaluation Center
13. Air Force Technical Applications Center

Each of these organizations is required to establish a primary STINFO office, and as necessary within the organization, other STINFO offices. For example, at the Air Force Systems Command, STINFO offices exist at all divisions, centers, and laboratories

## STINFO Program Management Responsibilities

SAF AQT is the office of primary responsibility (OPR) for the USAF STINFO program management. The official responsibilities of that office are listed in AF Reg 33-1 and the following paraphrased and associated list is taken from that source. The duties of this office are to:

1. Issue and maintain USAF STINFO regulations. A primary duty of the SAF AQT is to continuously review and update the regulations associated with the USAF STINFO program. Of note is that the regulations are now numbered in the 33 series instead of the current 40 series.
2. Coordinate the USAF STINFO program with the Contract Data Management program, the Foreign Disclosure Office, the Freedom of Information Office, the Public Affairs program, the Technical Intelligence program, the Air Force Library program, and pertinent programs of command and control programs. Essentially to coordinate the USAF STINFO program with all related information handling organizations.
3. Review STINFO needs continually and as appropriate revise existing programs. Plan for future needs, relationships with other programs, new types of STINFO and make sure that the STINFO program changes to accommodate these as they arise.
4. Establish an active technology transfer program. To support the Domestic Technology Transfer Program.
5. Manage the Work Unit Information System. To ensure that the Air Force is both ingesting current and complete information into the WTIS, and taking full advantage of the WTIS when planning new efforts.

## Implementing Organization Responsibilities

Each commander of an Implementing Organization has specific responsibilities under AF Reg 33-1. Basically, these responsibilities are to assign a STINFO Program Manager, keep SAF AQT apprised of who holds this position, and then give the STINFO Program Manager the support necessary to carry out their job.

The list below is a paraphrased list of these duties:

1. Assign a STINFO Program Manager as a primary duty assignment and notify SAF AQT of any changes.
2. Ensure that all STINFO is properly reviewed and marked.

3. Ensure that all STINFO produced by the organization are recorded as technical documents and prepared, distributed and security marked correctly and without undue delay
4. Support the input of data into the DTIC databases
5. Sponsor technical meetings, and encourage scientists and engineers to attend professional meetings, make personal visits, and write journal articles
6. Establish an Office of Research and Technology Applications (ORTA) in support of the domestic technology transfer program
7. Establish and maintain technical libraries
8. Review the STINFO program and provide operational support including programming, funding, accounting, and reporting for those services maintained by the STINFO office

#### **4. STINFO Duties - General**

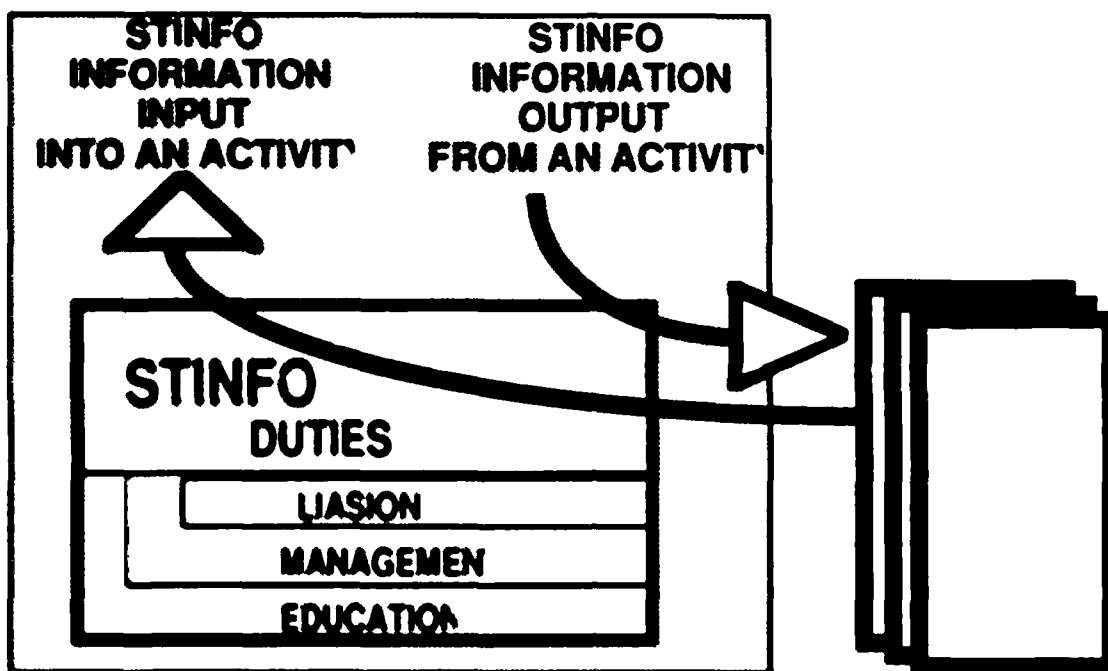
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**STINFO PM duties are wide-ranging and consist of managing the S&T information leaving an organization, potentially withholding information, information support, education, liaison, and management duties.**

##### **Key Points**

- The STINFO Program Manager duties are listed in AFR 83-1
- STINFO duties are very wide-ranging and can be divided into
  - Duties that are outward-directed and relate mainly to information being sent out from the STINFO office
  - Activities that relate to potentially withholding information
  - Duties that are inward-directed and relate to information support for the organization
  - Educational duties
  - Liaison duties. Maintaining on-going, working relationships with other organizations involved in information supply or support functions.
  - Management duties concerning the STINFO function and office.



### **Specific STINFO Program Manager Duties**

The specific duties of a STINFO Program Manager, as listed in AFR 43-1 are to:

1. *Set up procedures to provide or obtain scientific and technical information services to meet the needs of the organization.*

It is part of the STINFO Program Manager's job to determine if the information needs of the organization are being met, and if they are not, set up procedures or whatever else is necessary to see that these needs are being met. An important aspect of this is that the STINFO Program Manager is responsible for the organization's DTIC-related activities. This includes responsibility for (1) setting up and administering a DTIC account, (2) managing the inputs to DTIC's collections and databases, (3) providing access to DTIC's online database access system, and (4) promoting the use of these services.

2. *Provide support to the organizational commander for a domestic technology transfer program. The STINFO Program Manager shall assist in executing the Office of Research and Technology Application (ORTA) function.*

At most Air Force organizations the functions of the ORTA office and the STINFO office are separate. As part of AFR 83-1, the STINFO Program Manager is responsible for assisting the ORTA function.

3. *Ensure that the activities of the STINFO program are closely coordinated with efforts in the Data Management program. Ensure*



*that STINFO needs are accurately specified on DD Forms 1423, Contract Data Requirements List (CDRL), and that contractor-generated data products are entered in the STINFO system.*

The identification of contractor-generated STINFO starts with its listing on the CDRL. This listing identifies the items, delivery dates, and rules (Data Item Descriptions) that are to be followed by the contractor. It is the STINFO Program Manager's responsibility to ensure that the controlling office is specifying the correct DID for each STINFO product, and that all contractor-generated STINFO is being entered into a local STINFO tracking system.

4. *Establish procedures to ensure that all technical data produced within the organization is reviewed and properly marked to control secondary distribution.*

The STINFO Program Manager is responsible for seeing that correct distribution statements have been placed on all STINFO being produced by the activity. This involves providing guidance to the controlling office engineers and scientists producing documents, and reviewing the statements they assign.

5. *Establish a technical publications program to ensure timely publication of technical documents. Ensure the qualitative review of technical publications. The review will cover technical pertinence of the content, adherence to report writing standards, inclusion of meaningful title, abstract and key words, distribution limitations, and initial distribution list.*

The STINFO Program Manager is tasked with the job of managing their organization's technical publications program. Should such a program not exist, they are responsible for creating it. A very important part of such a program is a qualitative review step to check certain aspects of the document. It is part of the STINFO Program Manager's job to ensure that this qualitative review is being carried out.

6. *Maintain close liaison with Air Force foreign technology specialists to ensure that foreign research results are available to Air Force scientists, engineers, and managers.*

The primary vehicle for ensuring that foreign research results are getting to Air Force engineers and scientists is the Central Information Reference and Control System (CIRC II). If the organization has any potential need at all for this information, it is the STINFO Program Manager's responsibility to set up access to the CIRC II system, and ensure that engineers and scientists know of its existence and how and when to access it.

7. *Ensure the timely input of data into prescribed databases; for example, the Work Unit Information System database and the*

*Technical Reports database at the Defense Technical Information Center (DTIC), in order to keep them current and complete.*

Where STINFO from an organization is required to be either summarized or entered directly into a DoD database, it is the STINFO Program Manager's responsibility to ensure that this input is not only taking place, but is taking place in a timely manner. The major two DoD databases of concern are the Technical Reports database and the Work Unit Information System database, both of which are managed by DTIC.

8. *Monitor the operation of any Information Analysis Centers supported by the organization.*

If there are any formal or informal IACs associated with your organization, they will be both producers and users of STINFO. It is the STINFO Program Manager's responsibility to monitor their operation and ensure that any STINFO generated by these IACs is subject to the proper distribution controls, and that any STINFO distributed by the IAC is properly marked and controlled.

9. *Plan methods to improve STINFO systems and procedures. Schedule and participate in meetings to discuss problems relevant to the STINFO program.*

The STINFO Program Manager is responsible for continually reviewing and seeking to improve their program. In addition, the STINFO Program Manager is expected to participate in any local meetings or program-wide meetings that are relevant to the STINFO function.

10. *Conduct a continuous indoctrination program to inform scientists, engineers, and managers of their responsibilities to the STINFO program and to inform them of available STINFO products and services.*

It is part of the STINFO Program Manager's responsibility to develop and implement an ongoing program so that all scientists, engineers, and managers are fully aware of those aspects of the STINFO program that relate to their job.

11. *Help plan technical meetings; become familiar with foreign disclosure procedures when foreign nationals are invited to take part in meetings. Report on planned meetings and ensure that interested personnel are informed of such meetings.*

Often the individual responsible for meeting sponsorship will not have sponsored a meeting before and will not be aware of the disclosure implications and the DoD Directives and AF Regulations relating to meetings. It is the STINFO Program Manager's responsibility to provide guidance to these individuals concerning disclosure, submission of the presented papers to DTIC, and attendance controls at the meeting.

12. *Submit plans for improvements in STINFO services, to include internal changes, the knowledge of which may benefit other Air Force organizations.*

The STINFO Program Manager has a responsibility to make any improvements they have to their program known to the other STINFO offices.

13. *Provide for interest profiles for the selective dissemination of information (SDI). DTIC's program of SDI will require a program to further disseminate the information to the individual user. To accomplish this, the STINFO Office should develop and maintain profiles of interest to its technical personnel.*

A very important service of DTIC is the compilation and distribution of current awareness reports from their databases. In order to generate these, DTIC must have interest profiles to search against. It is the STINFO Program Manager's responsibility to compile a database of these interest profiles, maintain these profiles, and see that they are registered with DTIC.

14. *Be cognizant of RDT&E efforts which may have an impact on STINFO.*

A start-up requirement for all new RDT&E efforts is a search of the DTIC databases that could potentially impact on that work. It is the STINFO Program Manager's responsibility to stay aware of these new efforts, as well as being aware of the other STINFO-using and STINFO-generating efforts at the organization in order to actively support the information needs of these efforts, as well as anticipate any future needs they might have.

15. *Ensure that all RDT&E contracts/grants policies include appropriate instructions regarding the generation and reporting requirements of STINFO.*

Similar to responsibility number 3 above, it is the STINFO Program Manager's responsibility to see that all offices initiating contractual agreements that involved STINFO are aware of the implications of the Data Item Descriptions, and have referenced the correct DID in their CDRL.

16. *Provide technical library services consistent with user requirements.*

It is not the job of the STINFO office to provide library services. However, because there are a number of overlapping functions between the STINFO and the library, it is important for the STINFO to work with the library in order to achieve the Air Force STINFO goals.

17. *Ensure currency and effective coverage of primary distribution lists.*

The STINFO Program Manager is responsible for checking the primary distribution list to ensure that it is up-to-date and that it includes all relevant addressees.

18. *Provide for the collection, storage, and secondary distribution of those technical documents which have not been provided to DTIC because of distribution limitations. Ensure that bibliographic descriptions of these documents are reported and contained in the DTIC databases.*

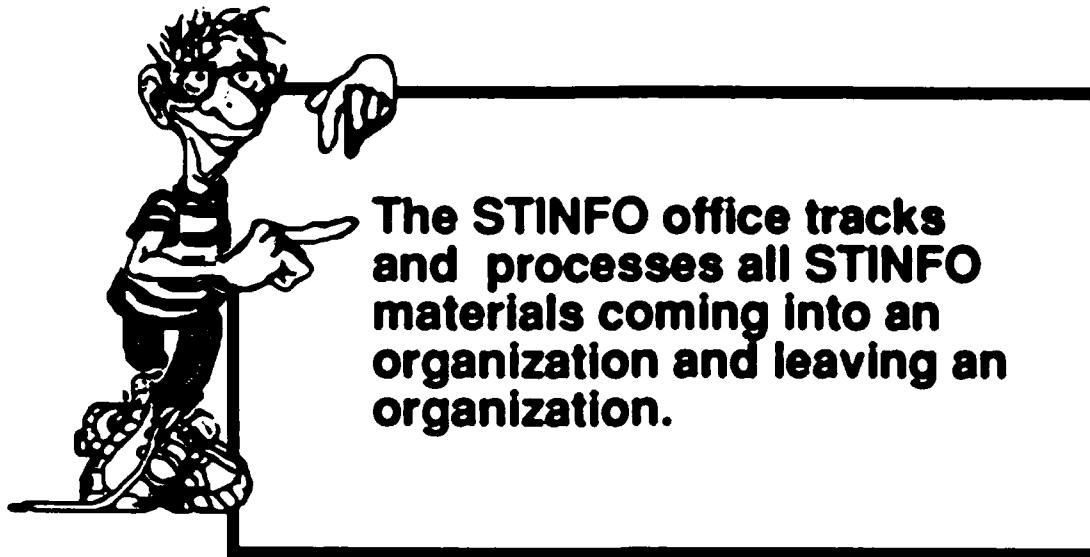
Depending on the nature of your organization, a small number of technical documents might be withheld from DTIC. In these cases, it is the STINFO Program Manager's responsibility to see that a local collection of these documents has been set up, and to provide a secondary distribution channel for them. The bibliographic descriptions of the documents withheld from DTIC should still be sent to DTIC.

19. *Collect data on the effectiveness of the program. Meaningful data are needed to measure the performance of the organization regarding the acceptance and discharge of their STINFO duties.*

It is a STINFO function to identify, collect, analyze and tabulate data that relates to the STINFO program in order to know if the STINFO program is being effectively managed.

## **5. STINFO Duties - Tracking and Processing STINFO Materials**

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### **Key Points**

- One of the major duties of the the STINFO office is to track and process all STINFO materials coming into an organization from contractual or in-house efforts, and going out from an organization through primary distribution.
- Publication Tracking consists of an accounting procedure containing information about the status of all projected and in-process technical reports.
- The STINFO Program Manager is responsible for a Qualitative Review of the technical publications produced by their organization.
- The STINFO Program Manager is responsible for setting up technical publication processing procedures at their organization, and providing assistance to authors/contracting offices concerning the forms, formats, and procedures to follow in order to publish a technical report, journal article, or other STINFO item.
- While not responsible for filling out the Report Documentation Page, the STINFO Program Manager is responsible for providing any necessary guidance to the author/contracting office filling out

this form, and for checking the Report Documentation Page during the Qualitative Review step.

- ANSI Z39.18 is the format standard which replaced MIL-STD-847B.
- The STINFO Program Manager is also responsible for:
  - Maintaining the current distribution list for reports.
  - Examining and updating procedures in order to minimize report processing time.
  - Ensuring that STINFO needs are reflected on the CDRL.
  - Managing the limitation review process, printing and distributing STINFO.

## **Technical Publication Tracking**

The STINFO Program Manager is responsible for tracking all technical publications from their specification as part of a Contract Data Requirements List (CDRL) or the introduction of a new Work Unit, through the distribution of the publications. What is meant by "tracking" is to keep an account of all projected and in-process technical publications associated with an organization.

## **Tracking System Inputs**

The three sources for technical publications are (1) contractor-generated publications, (2) in-house generated publications, and (3) unplanned publications. Since the first requirement of an effective tracking system is to capture the initial inputs as soon as they are known, it is important to examine (and "hook" into) the first two of these sources.

Identifying anticipated contractor-generated publications is actually quite easy because, with few exceptions, all such publications will be identified on the CDRL. Coordination with the Data Management Office is necessary to tap into this data source.

Identifying future in-house publications is a little more complex, but is aided by the DoD requirement that the results of each Work Unit be documented. Hence, each active Work Unit at an organization should equate to one or more technical publications, and by tracking the Work Units and by contacting the responsible DoD person, future publications can be anticipated.

Some of the specific inputs that many STINFO Program Managers are including in their tracking systems are:

1. **Identification Information**

Publication Number (STINFO assigned)

Associated Work Unit (from WUIS or CDRL)  
Author (from WUIS or CDRL)  
Responsible DoD Person/Office (from WUIS or CDRL)  
Contract or In-House (from WUIS or CDRL)  
Contract Number (from WUIS or CDRL)

**2. Basic Tracking Information**

Status (STINFO assigned)  
Contract Start Date (from WUIS or CDRL)  
Estimated Completion Date (from WUIS or CDRL)  
Date Due from Contractor (from WUIS or CDRL)  
Date Received in STINFO (STINFO assigned)

**3. Processing Tracking**

Dates to/from Editing (STINFO assigned)  
Dates to/from Composition (STINFO assigned)  
Date to/from Author Proof (STINFO assigned)  
Date to/from Commanding Officer (STINFO assigned)  
Date to/from Qualitative Review (STINFO assigned)  
Date to/from PA for U<sup>2</sup> Publications (STINFO assigned)  
Date to/from Printing (STINFO assigned)  
Date Distributed (STINFO assigned)

## **System Outputs**

Aside from helping manage the STINFO being generated at an organization, a tracking system is useful in a number of situations:

1. To respond to queries regarding the specific status of a technical publication.
2. To generate regular status reports summarizing all identified future and in-process publications. These status reports are an important contribution to an organization's management.
3. To generate summary statistics needed to measure performance. Since one of the goals of the STINFO program is the timely processing and distribution of all STINFO materials, the generation of regular summaries provides the STINFO office with the metrics against which performance can be measured.
4. To alert the STINFO Program Manager and the organization management to potential problems. Two such examples would be identified technical publications which are long overdue in

reaching STINFO, and publications which have bogged down in processing.

5. To trigger reminders to the contracting office that the technical publications acceptance (sign off on the DD 250) should not be made before the determination of whether the technical publication was written as per the controlling DID.

## **Technical Publication Processing**

In addition to tracking technical publications, the STINFO Program Manager has an active responsibility in the processing of the publications. In most organizations the STINFO office is the focus where the draft is sent for subsequent coordination of the editorial, composition, review, printing and distribution steps. Unfortunately, there seems to be a mistaken impression among some of the working level engineers and scientists as to the role of the STINFO office.

**It is not part of the STINFO duties to fill out the Publication Documentation Page or assign classification markings. Nor is it part of the STINFO duties to bring substandard publications up to the quality levels expected by your organization or the standards contained in ANSI Z39.18.**

The STINFO Program Manager's duties in this area are (1) coordination of the various steps to getting a publication "out-the-door", (2) giving guidance to the author/contract monitor concerning marking, distribution statements, and format standards, and (3) qualitative review of the document and the Publication Documentation Page.

## **Qualitative Review**

At most organizations, a technical publication must go through four separate review steps of which the qualitative review is logically the second step. These four review steps are:

1. Division Chief/Technical Director - for quality and technical accuracy of publication contents and for approval.
2. STINFO - for qualitative review.
3. Editing - for proper grammar, punctuation, format, clarity, conformance to local style requirements, and conformance to standards.



4. Public Affairs - for security and policy review of all publications marked with Statement A (unclassified, unlimited.)

It is the STINFO Program Manager's responsibility to ensure that every technical publication leaving your organization is given a qualitative review of the contents, marking, and Report Documentation Page. This is in addition to whatever editing, security and policy review, and technical review procedures are in effect at the organization.

During this qualitative review, the following should be checked:

1. Does the publication have a meaningful title.
2. Is the SF 298 complete.
3. Does the abstract on SF 298 present a true reflection of the publication's contents.
4. Does the format conform to the the ANSI Z39 18 standard
5. Has the document been assigned an appropriate distribution statement, and has the statement been placed in the appropriate place.
6. Have security markings been placed according to AFR 205-1

### **Report Documentation Page (SF 298)**

A copy of Standard Form 298, Report Documentation Page, must be included as the title (usually first) page of each technical publication submitted to DTIC. (SF 298 is the replacement for DD Form 1498.) This form provides a one-page summary which is the basic input to DTIC's technical report database. This form is filled out by the author/contracting office with guidance from the STINFO office, and checked by the STINFO Program Manager as part of the qualitative review process.

A detailed instruction sheet for filling out this form is currently included on the back of the form. The blocks that the originator might need assistance on are the Abstract (block 13) and the Subject Terms (block 14). If the originator is not aware that the DTIC system is basically a fixed vocabulary system, they might totally disregard the need to check the DRIT for appropriate words.

Note that in certain instances, such as in the case of articles published in technical journals, only the SF 298 need be submitted to DTIC, not copies of the article or publication itself.

## **ANSI Z39.18**

American National Standard ANSI Z39.18, *Scientific and Technical Reports: Organization, Preparation and Production*, has replaced MIL-STD-847B, *Format Requirements for Scientific and Technical Reports Prepared by or for the Department of Defense*. This new standard is very similar to the old standard, and users of MIL-STD-847B should have no trouble converting to the new standard.

This standard contains guidelines for the organization, preparation, and production of scientific and technical reports. Topics covered in the standard are:

1. **Report Organization** including the order of elements, order and organization of all front matter (cover, report documentation page, abstracts, contents, etc.), order and organization of the text, and organization of all back matter (appendixes, bibliographies, glossary, distribution list, etc.).
2. **Report Preparation** including format, terminology, inclusion of formulas, layout of graphs and tables, etc.
3. **Report Production** including graphic design, typography, layout and assembly, reproduction, and binding.

You should keep in mind that this standard is not a style guide, and that most organizations producing STINFO will still need a local style guide to define such subtleties as joint authorship, citations, spacing, acknowledgements, acceptable fonts, etc.

### **Primary Distribution List**

It is the STINFO Program Manager's responsibility to maintain an up-to-date distribution list for reports created by the organization. Guidance for the distribution of technical publications is given in AFR 83-2, a copy of which is included in the Appendix.

Some points concerning document distribution are:

1. Ensure distribution to DTIC. (2 copies).
2. If appropriate, distribute to the three AFIFIOs.
3. If appropriate, distribute directly to any relevant IACs.
4. Classified reports must include a copy of the initial distribution list as the last page of the report, and hence must have a distribution list.

5. The actual mailing list will be subject to local guidelines, but the primary distribution information included in AFR 83-2 should be followed.
6. Reports should be distributed as widely as possible, consistent with security and distribution requirements. This means that (1) classified reports can only be distributed to those with a need-to-know, valid security clearance, and proper storage facilities, (2) foreign addressees must have approval of the Foreign Disclosure Policy Office, and (3) only those contractors on the Certified Contractor Access List can receive export-controlled reports.
7. Once primary distribution has been made, all subsequent requests (secondary distribution) must be processed through either DTIC or NTIS as appropriate.

### **Minimizing Report Processing Time**

"The overriding priority of the DoD STIP is to achieve **timely** and effective exchange among ...." This statement, taken from DoD 3200.12, says it all. The goal is to get the information exchanged, not to delay publication unnecessarily because of slipshod processing procedures, old technology, and bureaucratic hurdles. It is the STINFO Program Manager's responsibility to examine the report processing procedures at the organization to determine where the process can be speeded up.

The goal is clear: to minimize the time between the end of RDT&E efforts and publication distribution. This goal then, provides one (of the many) rationales for a document tracking system, and defines one of the necessary outputs from the system: summary statistics on the processing times at each point in the process.

### **STINFO Needs On DD Form 1423 (CDRL)**

Each line item on a Contract Data Requirements List (CDRL) corresponds to a contract deliverable. The form of the deliverable is specified by (1) the Data Item Description that is referenced as the "Authority" in block 4 of this form, and (2) any further qualifications and instructions included in block 14 under "Remarks."

Should you have any specific needs concerning contractor-generated reports that are appropriate for inclusion in the Remarks block, you should take the initiative and discuss these needs with the Data Management Office to ensure that these needs are covered whenever the corresponding type of STINFO is contracted for.

## Distribution Statement Review

AFR 80-45 requires that all documents containing distribution statements B, C, D, E, F, or X be reviewed by the controlling office whenever a request is received, to determine if the statement can be widened or removed. The goal is, of course, to use a less restrictive statement whenever conditions permit.

One approach that some organizations are taking is to maintain a small database of locally-generated reports that contain distribution statements, and on a periodic basis query the controlling office for any changes. These databases are easily constructed by downloading and post-processing an appropriate search using the DROLS TR database.

The other approach is to perform this review when processing the DTIC Form 55, Request for Limited Document. The advantage of this approach is that only reports being requested would be reviewed and those of no interest would require no additional thought or processing time.

## Documentation

The major documentation to be aware of concerning tracking and processing STINFO materials are:

1. **AFR 83-2: AF Technical Publications Program.** Basically, this regulation covers rules for writing, processing, distributing, and publishing technical documents generated either in-house, or under contract, subcontract, or grant.
2. **DTIC Retrieval and Indexing Terminology.** AD-A176 000. DTIC. This is the authoritative listing of subject terms used to index STINFO in the various DTIC databases. It should be referred to by whoever assigns subject terms in Block 14 of the Report Documentation Page, and should be used in checking to see that this information is correct. It is also used extensively when constructing search strategies for use with DROLS.
3. **Scientific and Technical Reports: Organization, Preparation, and Production.** ANSI Z39.18. This is the new standard for technical report formats that replaced MIL-STD-847B.

## **6. STINFO Duties - Work Unit Summaries**

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**The Work Unit Summary (WUIS) program is a very important part of the DoD STIP. The STINFO office is responsible for ensuring that it is searched during the planning phase of new projects.**

### **Key Points**

- The Work Unit system is part of the DoD STIP, and is controlled by DoD Reg 3200.12-R-1.
- Work Units are the smallest segment into which research or technology efforts are divided.
- Work Unit information is recorded on DD Form 1498 and reported to DTIC.
- Detailed instructions for filling out the DD Form 1498 are contained in DoD 3200.12-M-1, Research and Technology Work Unit Information System Data Input Manual.
- The Work Unit Information System Database is the central store of R&T WUIS data, maintained at DTIC, and accessible online as part of the DROLS system.
- STINFO responsibilities concerning Work Units are:
  - Ensure that the R&T WUIS database is searched by the project engineer/scientist during the planning stage of any new project.

- Ensure that all new Work Units for their organization are scanned for STINFO outputs, and once identified, the STINFO items are tracked through to final distribution.

## **What a Work Unit Is**

A **Work Unit** is the smallest segment into which research or technology efforts are divided for local administration or control. Each Work Unit has a specific objective, finite duration, and results in an end product. It is technically distinct in scope, objective, and duration from other research or technology efforts with which it may be aggregated for either financial, administrative, or contracting purposes.

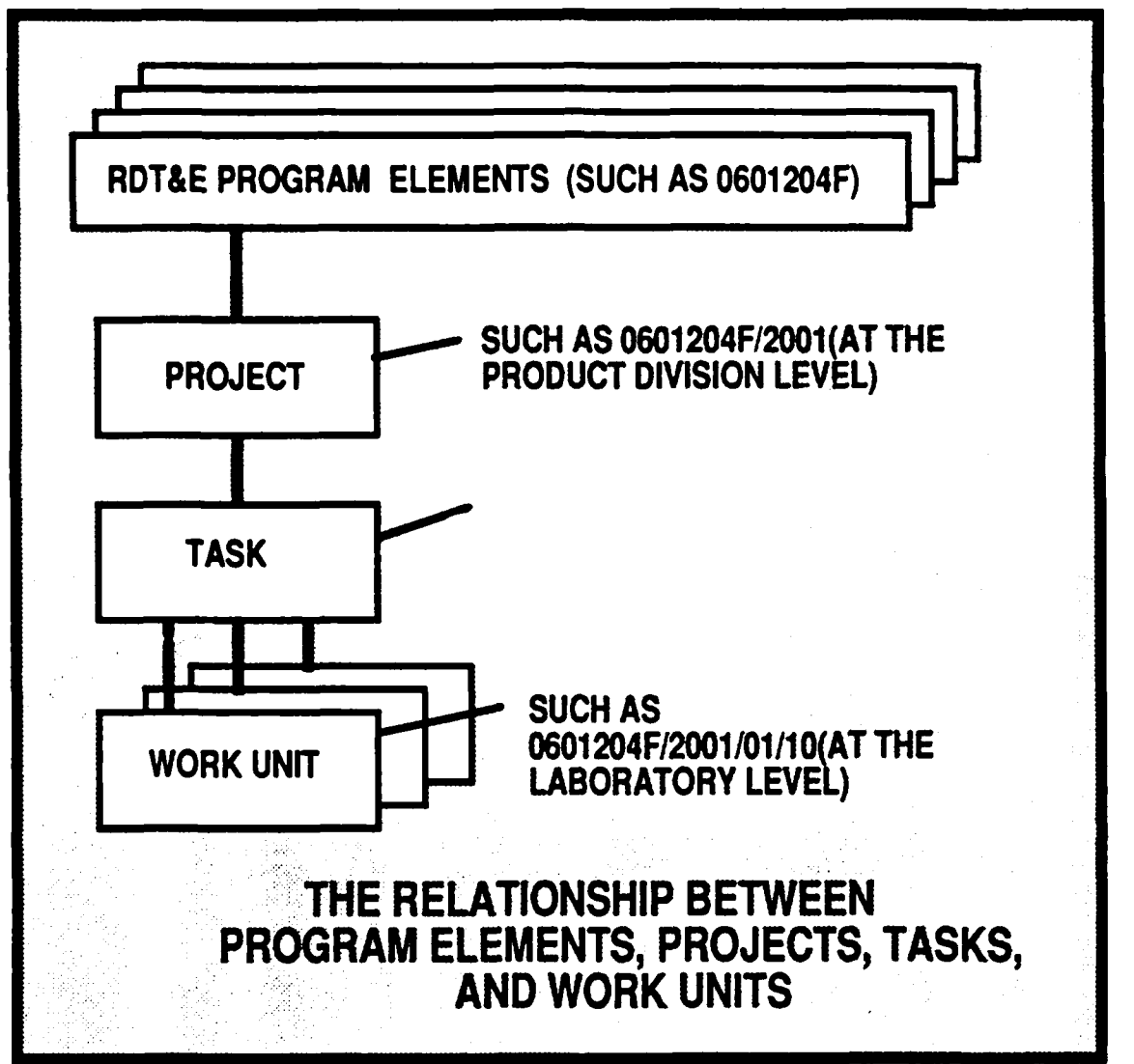
A **Work Unit Summary** (the information contained in DD Form 1498) is the set of data elements that describe what, where, for whom, for how long, for how much, and the progress of the R&T effort being reported.

## **Purpose, Goal, and Objectives of the Work Unit System**

The purpose of the R&T WUIS is to provide managers, engineers, and scientists a comprehensive database containing summary descriptions of the technical content, performers, monitors, and funding sources of DoD research or technological efforts. The goal is to increase the effectiveness of the entire DoD RDT&E program by making this database available to DoD managers, engineers, and scientists, as well as to DoD contractors.

The specific objectives are to:

1. Help R&D managers identify DoD R&T efforts in a broad range of scientific disciplines and technologies.
2. Permit managers to easily coordinate programs with other DoD components and with other agencies and branches of the federal government to eliminate duplication of effort.
3. Help individual scientists and engineers determine current and past efforts related to their own work.
4. Enable scientists, engineers, and managers to identify individuals working in technical areas of interest.
5. Allow scientists and engineers to maintain current awareness through periodic reviews of pertinent work units.
6. Enhance the efficiency and cost effectiveness of the the defense contractor community by providing knowledge of ongoing DoD work so their R&D efforts can be focused toward national defense and military requirements.



## **WUIS Reporting**

The WUIS reporting is handled by the WUIS Focal Point within the organization. This person is typically in the Plans and Programs Office or the Data Management Office.

Work units are required for every technically distinct effort performed by or in an RDT&E activity, each individual contract or grant, or each R&T effort performed by a non-DoD government agency but funded by DoD through an interagency transfer of funds. Reporting is mandatory for all R&T work efforts independent of funding category.

The inputs into the R&T WUIS system are taken from the DD 1498 form, (usually integrated into a local management information system), and transmitted in machine-readable form directly to DTIC. The work unit

summaries are required to be reported within 30 days of either initiation, change, completion, or termination of an effort. Details on filling out the DD Form 1498 are contained in DoD 3200.12-M-1, Research and Technology Work Unit Information System Input Manual.

## **Documentation**

The major documents involved in the R&T WUIS are:

1. DoD 3200.12-R-1, Research and Technology Work Unit Information System Regulation
2. DoD 3200.12-M-1, Research and Technology Work Unit Information System Input Manual
3. AFR 80-12, Work Unit Information System
4. DLAH 4185.4, Research and Technology Work Unit Information System Database



## **7. STINFO Duties - Control and Marking**

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**The distribution statements placed on information by the generator are very important. The STINFO PM provides guidance and reviews the selected limitation.**

### **Key Points**

- The STINFO Program Manager is responsible for:
  - Providing guidance to the generators of STINFO regarding the proper marking of documents.
  - Establishing a system wherein documents having distribution statements are reviewed on a regular basis (or whenever a request is processed).
- Military Standard 1806, Marking Technical Documents Prepared by or for the Department of Defense, is now available.
- The distribution statement is very different than the classification. Distribution statements are applied in order to define the default audience for that information.
- Only specific distribution statements can be used, and these can only be used for specific reasons.
- A procedure for the periodic review of distribution statements is needed in order to increase the document's availability when conditions permit in the future.

- All technical information, no matter what form it takes, must have a distribution statement.
- The distribution statement applies to the secondary distribution of a document, not the primary distribution.

## **Proper Distribution Statement**

The intent of the distribution system is to stem the flow of military-related technical data to our adversaries without stifling technological growth, blocking the exchange of technical data that is vital to progress or innovation, or reducing the competitiveness of U.S. industry in world markets. Properly applied, the system of distribution statements will keep critical technology from our adversaries but permit it to flow to government agencies and private entities that have legitimate need for it.

A proper distribution statement is very important to ensure that Air Force STINFO is only released to those persons and organizations allowed access to the information, and that STINFO subject to export-control laws is identified and controlled as such.

## **Marking STINFO information**

The responsibility for marking technical documents properly belongs to the DoD component that generates the document. For each new document, the manager of the technical program generating the document is responsible for assigning an appropriate distribution statement.

It is the responsibility of the STINFO office to assist the originating office in assigning a distribution statement (for example, by having a copy of the MCTL available for review), and then, during processing, checking that a valid and reasonable limitation has been assigned.

## **Export-Controlled**

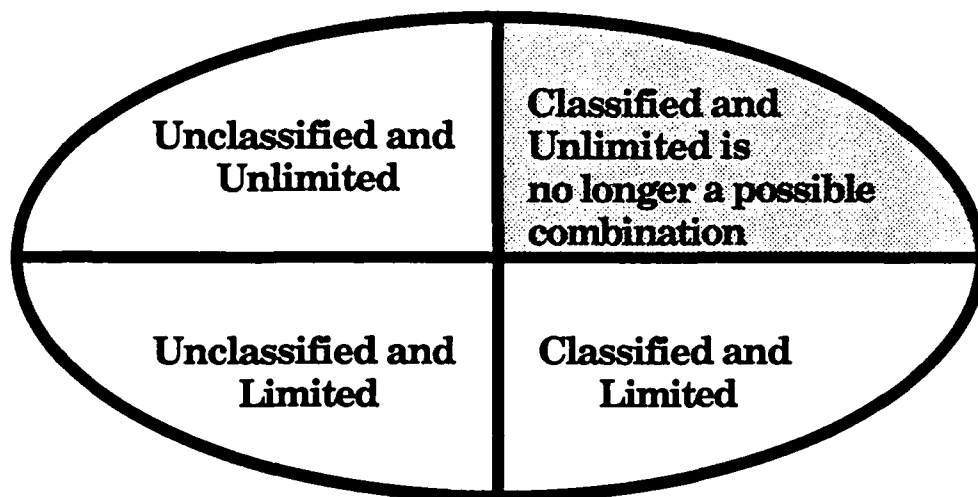
Because classified materials are automatically export-controlled, the category of "export-controlled" usually refers to unclassified documents that contain information subject to one or more of the export-control lists that will be discussed later. However, because classified materials are subject to automatic downgrading, classified materials must also be marked for export control to prevent their unauthorized distribution in the future.

In order for a contractor to get access to these materials, the contractor must have registered with the Defense Logistic Services Center by submitting a DD Form 2345, Militarily Critical Technical Data Agreement. Once registered, the contractor is listed on the Certified Contractor Access List, which is published quarterly by the Defense

Logistics Services Center. Once DTIC receives this information, the contractor will receive unclassified, export-controlled technical data as requested.

### **Unclassified/Unlimited**

The fourth category of materials is Unclassified/Unlimited, which are referred to "Statement A." These materials are distributed by DTIC to all registered users who have a deposit account with the National Technical Information Service (NTIS). They are subsequently available to the general public, without restriction, from NTIS.



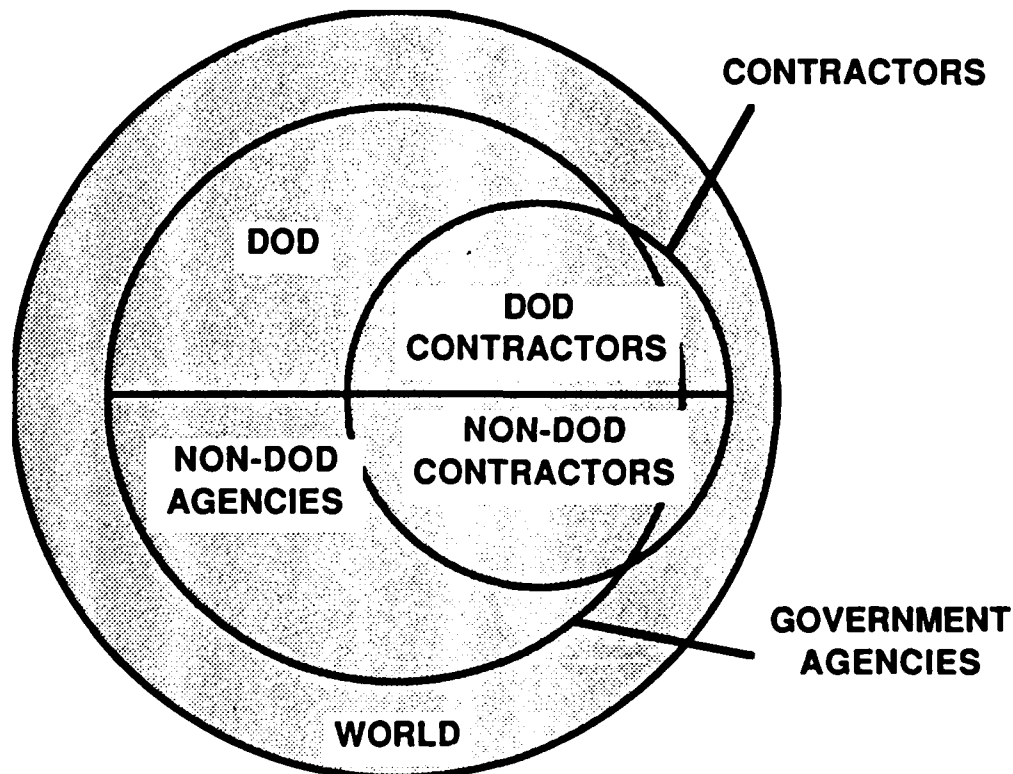
## Distribution Statements

The distribution statement should be selected to limit the secondary distribution of the information to the intended audience. The following distribution statements are authorized for use in marking technical documents:

### Distribution Statement A

**Approved for public release; distribution is unlimited.**

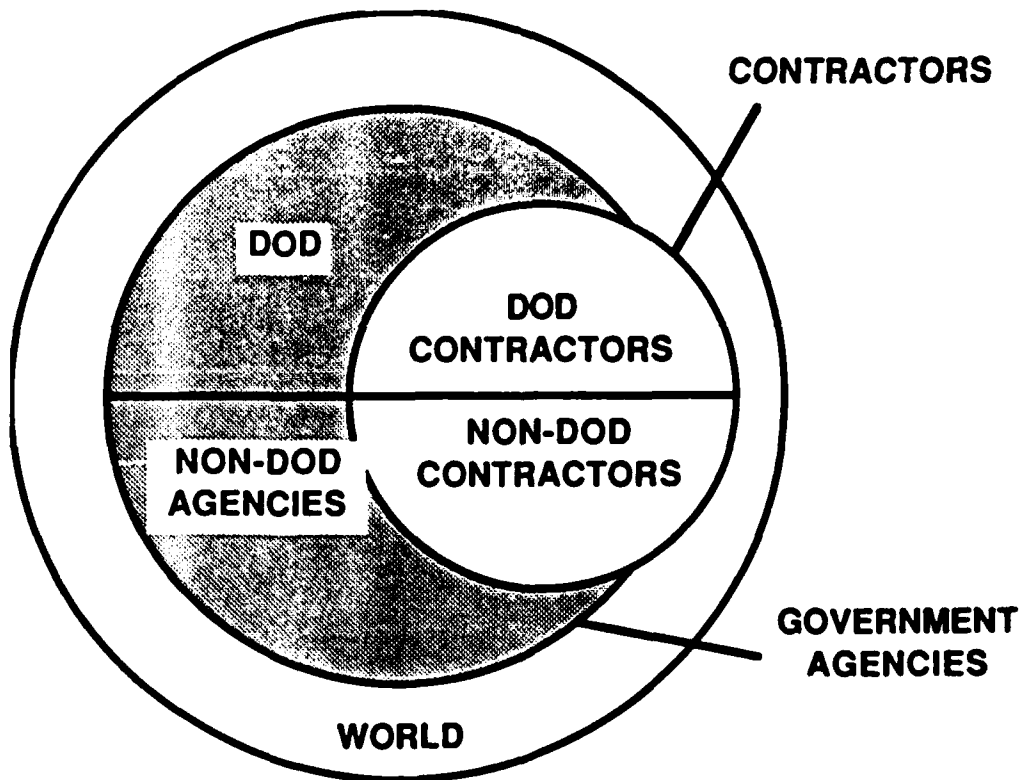
Statement A is used on unclassified technical documents that do not contain export-controlled data, and have been approved for public release after a security review and policy determination by the Public Affairs Office, as authorized by AFR 190-1.



**(The shaded segments can receive this information.)**

**Distribution Statement B**

**Distribution authorized to U.S. Government agencies only  
(fill in reason) (date of determination). Other requests for  
this document shall be referred to (insert controlling DoD  
office).**

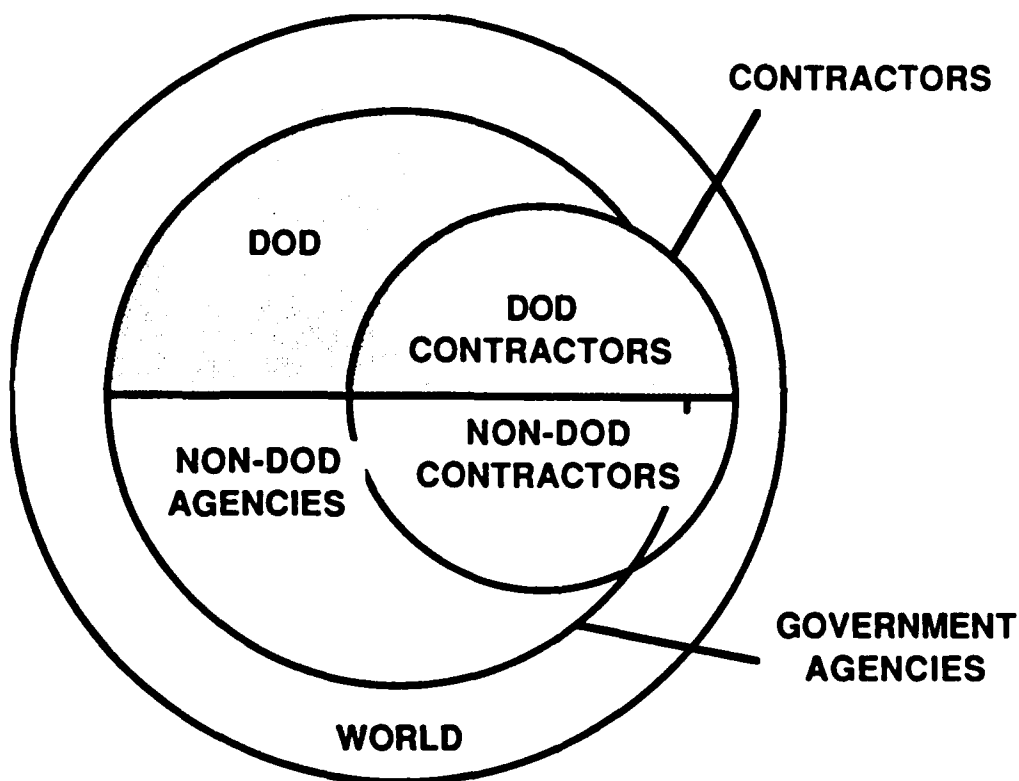


**(The shaded segments can receive this information.)**



**Distribution Statement D**

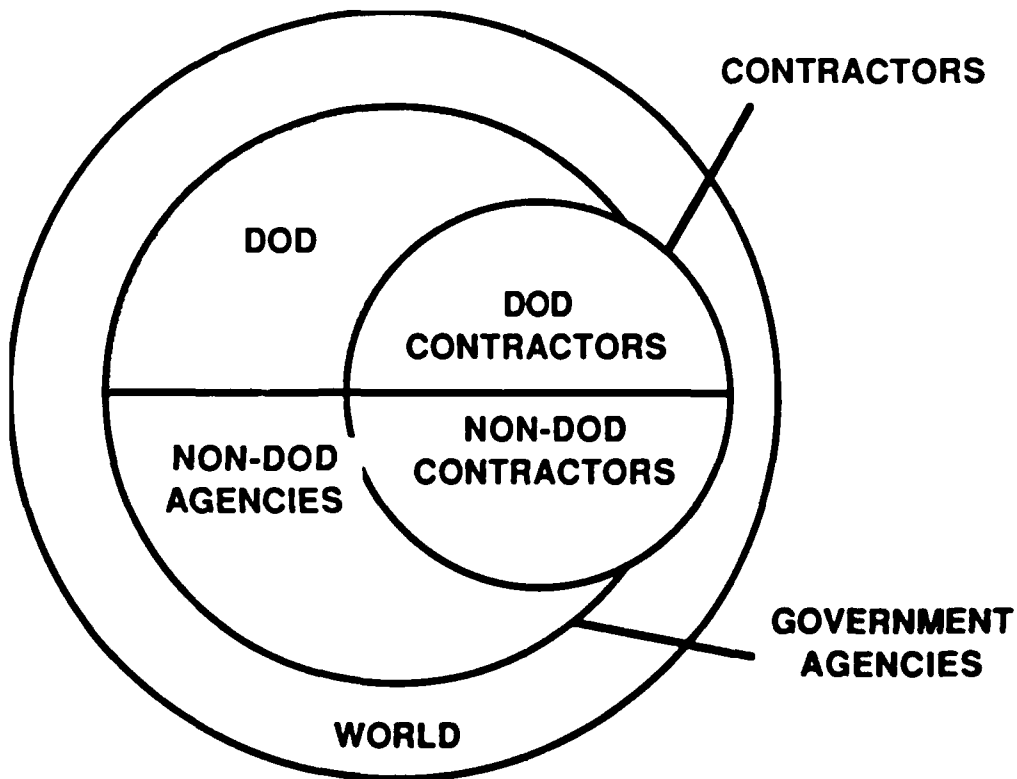
**Distribution authorized to the Department of Defense and DoD contractors only (*fill in reason*) (*date of determination*). Other requests for this document shall be referred to (*insert controlling DoD office*).**



**(The shaded segments can receive this information.)**

**Distribution Statement E**

**Distribution authorized to DoD components only (*fill in reason*) (*date of determination*). Other requests for this document shall be referred to (*insert controlling DoD office*).**

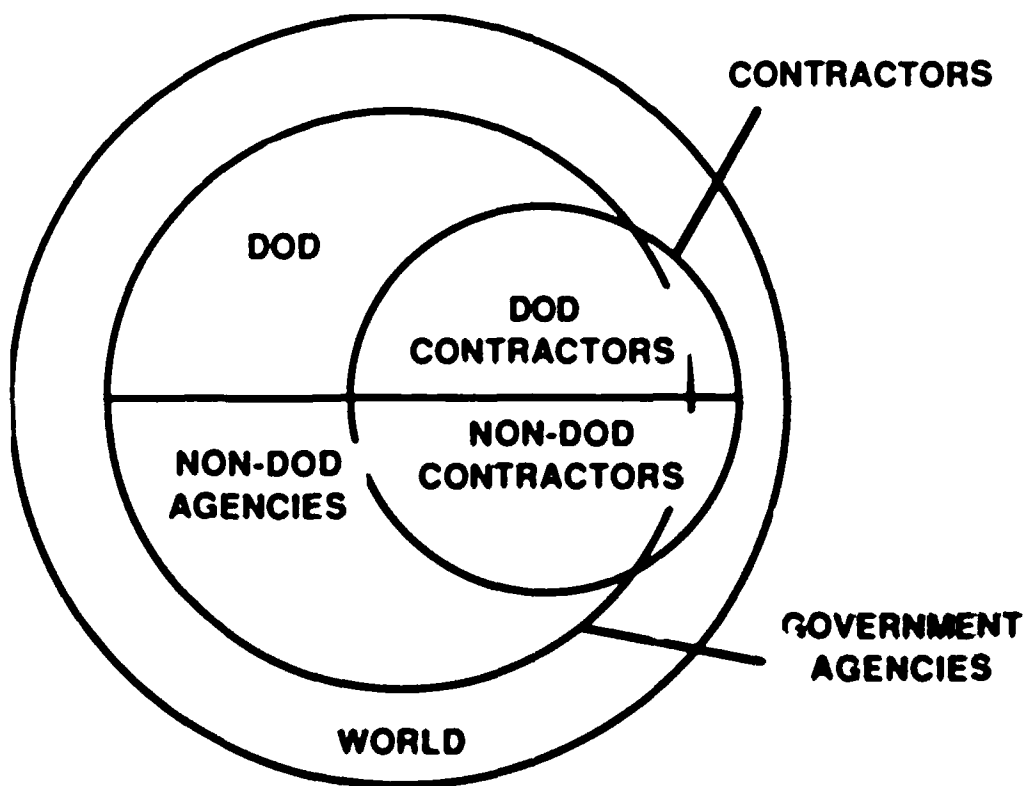


**(The shaded segments can receive this information.)**



**Distribution Statement F**

**Further distribution only as directed by (*insert controlling DoD office*) (*date of determination*) or higher DoD authority.**

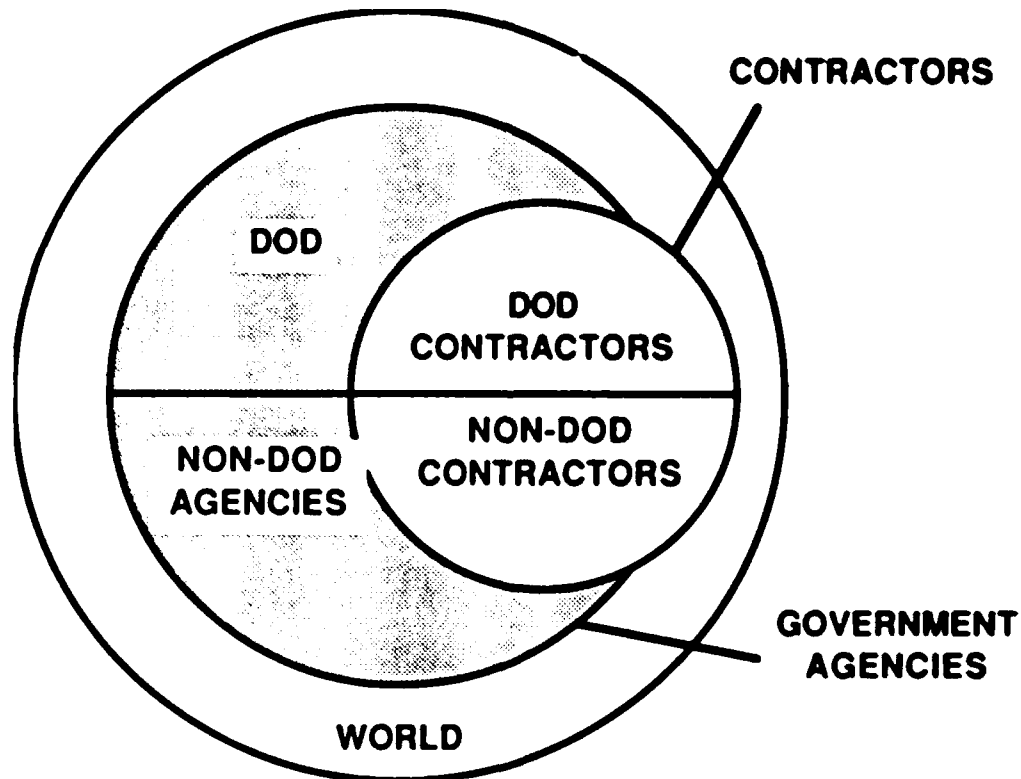


**This is the most restrictive limitation with each distribution being controlled.**

**Distribution Statement X**

**Distribution authorized to U.S. Government agencies and private individuals or enterprises eligible to obtain export-controlled technical data in accordance with regulations implementing 10 U.S.C. 140c (date of determination). Other requests must be referred to (insert controlling DoD office).**

Export-Controlled Data - protects data subject to DoD Directive 5230.25, when distribution statements B, C, D, E, or F are not used. Note that Distribution Statement X is never used on classified documents.



**Eligibility to receive this information is determined by the ability to receive Export-Controlled information.**

## **Distribution Statements Reasons**

The DoD Controlling Office must provide a reason for selecting statements B, C, D, and E. The 10 specific reasons that can be cited are to draw attention to the type of information in the document and to serve as a flag for other special handling requirements, such as proprietary information. The 10 reasons are:

1. "Foreign Government Information" meaning that the distribution is in accordance with the desires of the foreign government that furnished the data.
2. "Proprietary Information" meaning that the information is not owned by the US Government and is protected by a contractor's "limited rights" statement.
3. "Critical Technology" meaning that the information represents advanced new technology or a potentially significant military application of an existing technology.
4. "Test and Evaluation" meaning that the information contains test and evaluation results whose disclosure could cause unfair advantage or disadvantage to the manufacturer of the product.
5. "Contractor Performance Evaluation" meaning that the information contains a management review or contractor performance evaluation of some kind.
6. "Premature Dissemination" meaning that a system or hardware in the developmental or conceptual stage is being reported and is being controlled to protect the inventor's right to obtain a patent.
7. "Administrative or Operational Use" meaning that the information is solely for official use or strictly for administrative or operational purposes.
8. "Software Documentation" meaning that the information is only releasable after the requestor has signed a "Statement of Terms."
9. "Specific Authority" meaning that the information, while not specifically included in other reasons, is protected by a documented authority such as an Executive Order.
10. "Direct Military Support" meaning that the information is of such high military significance that release for other than direct support of a DoD approved activity would jeopardize an important military advantage for the United States.

Only certain combinations of distribution statements and reasons for their selection make sense and should be used. Information can be limited to "DoD Components Only", specified by Statement E, for any of the 10 reasons. Information can be limited to US Government Agencies Only, specified by Statement B, for any of the 10 reasons except "Direct Military Support."

The reasons **not** to allow contractor access are fairly obvious and include "Proprietary Information," "Test and Evaluation," "Contractor Performance Evaluation," "Premature Dissemination," "Software Documentation," and "Direct Military Support."

		REASON									
		1	2	3	4	5	6	7	8	9	10
S T A T E M E N T	B	●	●	●	●	●	●	●	●	●	
	C	●		●				●		●	
	D	●		●				●		●	
	E	●	●	●	●	●	●	●	●	●	●

### Control of Unclassified Technology with Military Applications

DoD Directive 5230.25 established policies and procedures for disseminating and withholding unclassified technical data. AFR 80-34, *Withholding of Unclassified Technical Data From Public Disclosure* implements this Directive within the Air Force.

Essentially, the Air Force may withhold from public disclosure any technical data with military or space application in the possession of, or under the control of, the U.S. Air Force if such data may not be exported lawfully without an approval, authorization, or license under export-control law.

It is Air Force policy to provide this data to contractors certified and registered by the Defense Logistics Services Center. However, when the data is so important that release for purposes other than direct support of the Air Force or other DoD activities may jeopardize an important U.S. technological or operational advantage, the data will be withheld even from registered contractors.

The two document request channels that AFR 80-34 addresses are non-FOIA requests and FOIA requests. The regulation lists the situations and reasons for which access should be denied in both these situations, as well as a number of sample letters to cover the more common situations.

## **Placing Limitations and Export Control Markings on Technical Documents and Other Forms of STINFO**

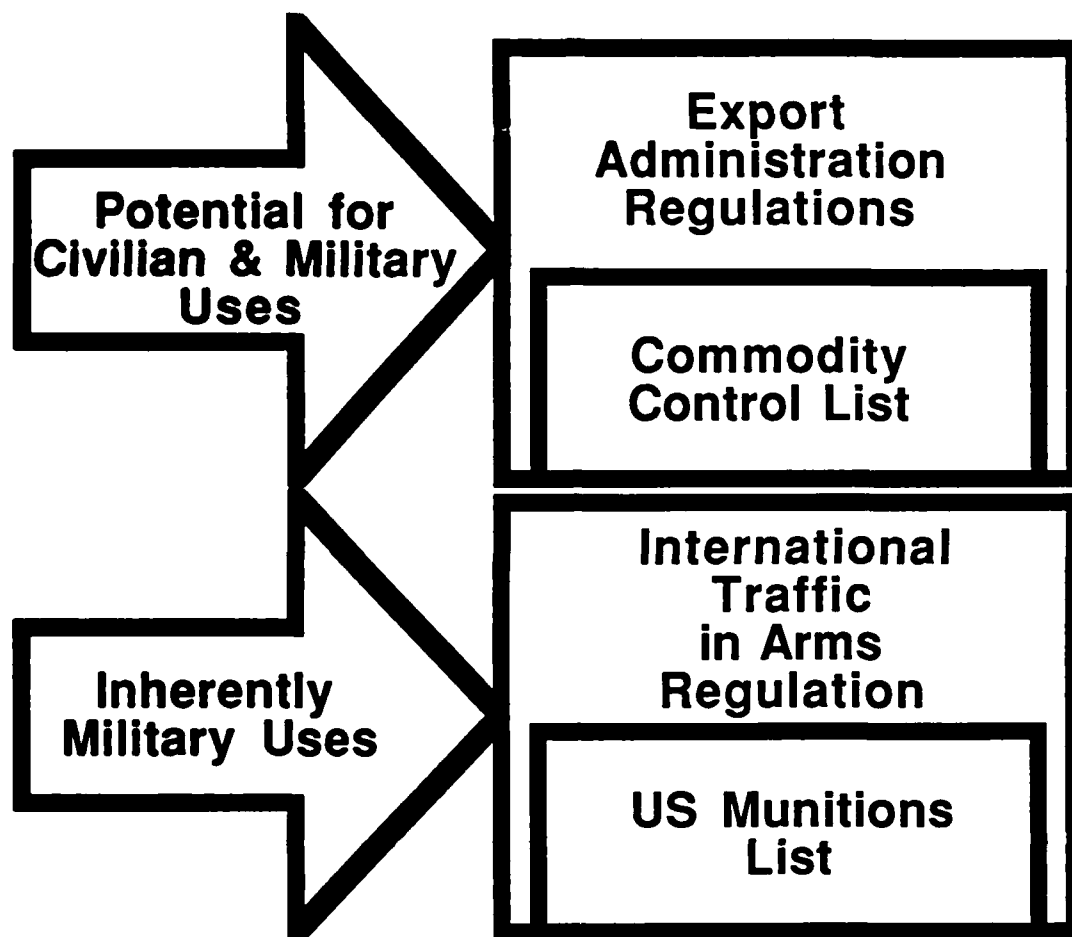
The new distribution marking system mandates the use of the following warning notice on all documents that contain export-controlled technical data:

**WARNING - This document contains technical data whose export is restricted by the Arms Export Control Act (Title 22, U.S.C., Sec. 2751 et seq.) or the Export Administration Act of 1979, as amended (Title 50, U.S.C., APP. 2401, et seq.). Violators of these export laws are subject to severe criminal penalties. Disseminate in accordance with the provisions of AFR 80-34.**

All other categories of materials including hardware, charts, maps, drawings, photographs, films, recordings, transparencies, slides, motion picture films, recordings, microforms, and all types of ADP media also need to be marked. Detailed marking instructions is contained in the new MIL-STD 1806, *Marking Technical Documents Prepared by or for the Department of Defense*.

## **Export Control**

All defense goods and technical data that are subject to export control fall either within the International Traffic-in-Arms Regulation (ITAR) or the Export Administration Regulations (EAR). The criteria as to whether the item comes under one or the other is a function of its inherent capabilities. If the item is deemed to be inherently military in character, it falls under the ITAR. If the item has potential for both military and civilian use, it falls under the EAR.



### **International Traffic-in-Arms Regulation (ITAR) (22 CFR 120)**

The ITAR prohibits the export and import of defense articles and defense services without the approval of the Department of State. "Defense article" means anything included on the U.S. Munitions List and includes models, mockups, and other such items which reveal technical data directly relating to the items in the U. S. Munitions List. "Defense services" means assisting (including training) foreign persons in the design, engineering, development, processing, manufacture, use, operation, ..., of defense articles or the furnishing to foreign persons of any technical data, whether in the United States or abroad.

According to the ITAR, technical data is defined as:

- a. Information relating to defense articles and services;
- b. Information covered by an invention secrecy order;
- c. Information which is directly related to the design, engineering, development, production, processing,

manufacture, use, operation, overhaul, repair, maintenance, modification, or reconstruction of defense articles. This includes, for example, information in the form of blueprints, drawings, photographs, plans, instructions, computer software and documentation. This also includes information which advances the state of the art of articles on the U.S. Munitions List. It does not include information concerning general scientific, mathematical or engineering principles.

Note that this definition of technical data is very broad and covers all technology which may relate to items on the U.S. Munitions List. If there is any question at all as to whether or not an item is on the U.S. Munitions List, the Office of Munitions Control, Bureau of Politico-Military Affairs, Department of State, Washington, DC 20520, will make such a determination. (Procedures are outlined in 22 CFR Part 120.)

Basically the ITAR contains four things:

- a. General information on the ITAR itself.
- b. The U.S. Munitions List.
- c. Registration procedures for exporters and manufacturers, and export license procedures.
- d. The penalties for violation of these regulations.

### **U.S. Munitions List (22 CFR Part 121)**

The U.S. Munitions List is the heart of the ITAR. It is a subject-organized list of defense equipment and topics, and is about 7 pages long. Some items on this list are marked to indicate that they are "significant military equipment" and subject to even more stringent controls (dealing with non-transfer and use.)

The List is quite specific concerning military hardware such as "underwater sound equipment, including but not limited to towed arrays, electronic beam forming sonar, ..." However, sprinkled liberally throughout the list is the phrase "but not limited to ..." This legalese means that items not specifically on the list (but are of the same type as items on the list) are subject to the same controls as items on the list.

### **Export Administration Regulations (15 CFR Parts 369-399)**

Export Control Laws are the responsibility of the Department of Commerce, and were established to provide export control policies and practices. A validated license is required from the Department of Commerce for not only the export of materials, but the export of technical data relating to the controlled materials.

Technical data is defined as information of any kind that can be used in the design, production, manufacture, utilization, or reconstruction of articles or materials. The data controlled consists of not just reports, but may take on the form of a model, prototype, blueprint, or operating manual. All software is considered technical data. Basically, the technical data relating to the commodities listed on the Commodity Control List (CCL) are prohibited without a license.

### **Commodity Control List (CCL) (15 CFR Part 399)**

The CCL is a detailed listing prepared by the Department of Commerce to control the export of goods and technologies which may significantly contribute to the military potential of foreign countries thereby adversely affecting the national security of the U.S. The CCL is contained in 15 CFR Part 399, and is about 200 pages long.

### **Militarily Critical Technology List (MCTL)**

The Militarily Critical Technology List (MCTL) was developed by the DoD to identify those technologies whose export could increase the military capabilities of potential adversaries to the detriment of U.S. national security.

The MCTL is not intended to replace either the Export Administration Regulations or the International Traffic-in-Arms Regulations. Rather, it should be used as a resource document in determining which technologies must be controlled from foreign export. The contents of the MCTL do impact both the Commodity Control List (CCL) and the U.S. Munitions List.

### **Certified Contractor Access List**

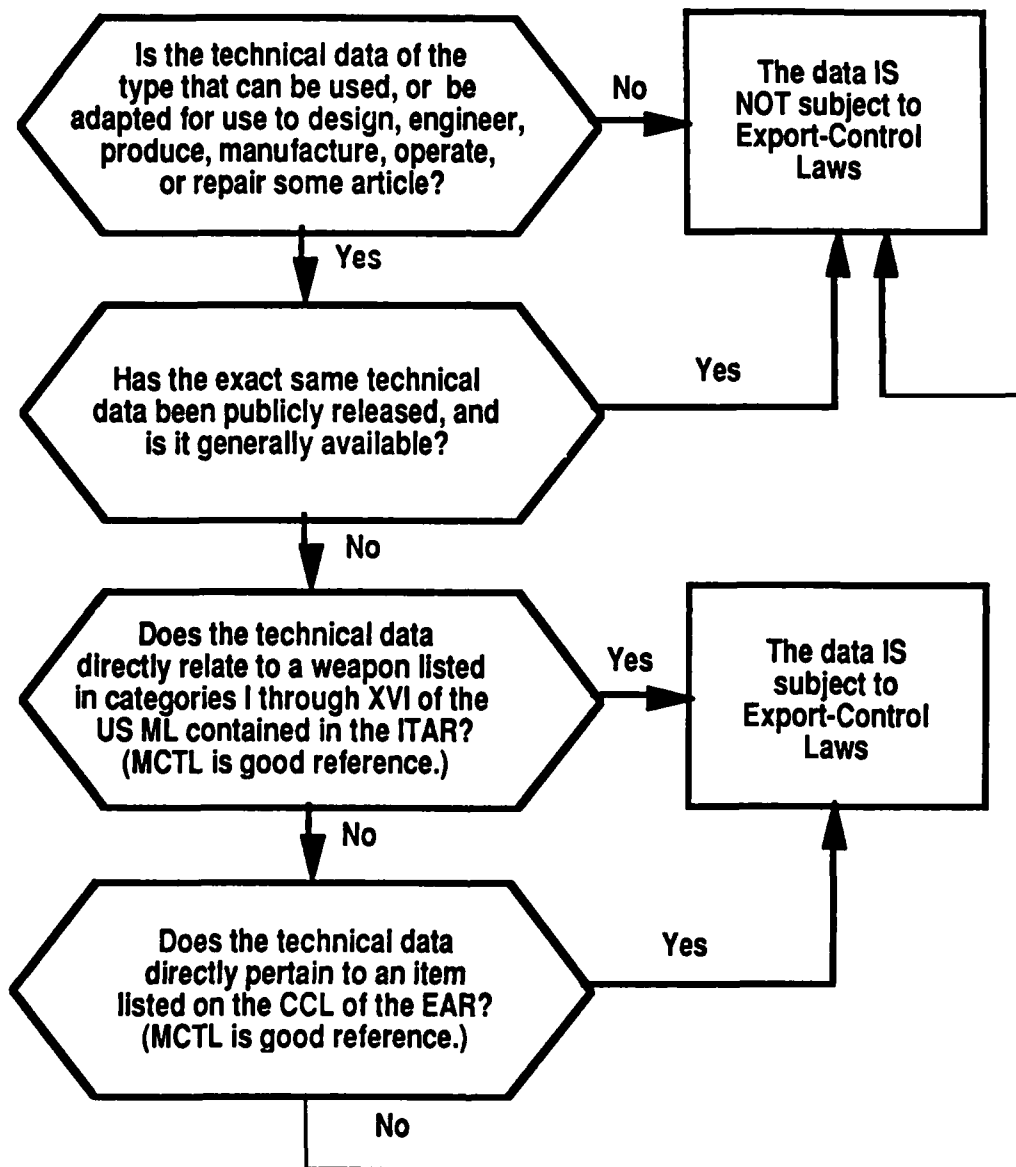
The DoD has established a system that accommodates transfer of export-controlled DoD technical data to persons or companies in the U.S. while retaining the protections afforded by national export control laws. The system, established in DoD Directive 5230.25, includes a process for certifying those who need access and outlines procedures for obtaining the data required.

Certification is accomplished using DD Form 2345, Militarily Critical Technical Data Agreement. The Form is in effect a self-certification that the applicant will use the data only in ways that will maintain the protections afforded by U.S. export control laws.

The Defense Logistics Agency has overall responsibility for administering the certification system, and the Defense Logistics Services Center carries out the operational functions. It collects the certifications, maintains them in a database, and disseminates a list of contractors eligible for access to export-controlled DoD data. This list, which is published quarterly, is called the *Certified Contractor Access List (CCAL)*



**Procedure for Determining if Technical Data is Export Controlled (based on Section 5 of AFP 80-30)**





## **8. STINFO Duties - User Support**

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**The STINFO office provides access to a number of important information services including access to the all-important Defense Technical Information Center.**

### **Key Points**

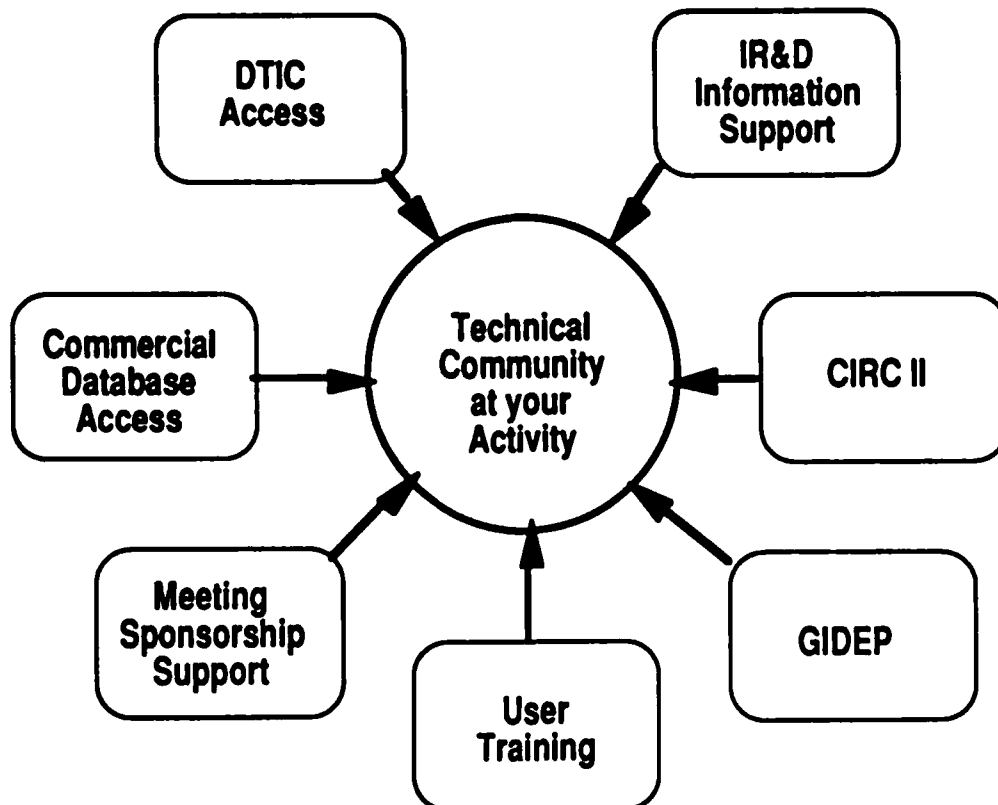
- It is the STINFO Program Manager's responsibility to set up procedures to obtain scientific and technical information services to meet the needs of the organization.
- The single most important user service is access to DTIC databases and services.
- Other user support services that might apply to the organization are:
  - Access to CIRC II for foreign technology.
  - Access to commercial databases.
  - Access to IR&D brochures and evaluations.
  - Support of sponsored technical meetings.
  - Access to GIDEP for engineering data.

## User Support Duties

STINFO duties pertain to scientific and technical information flow not just out from an organization, but also **into** an organization in the form of support of the technical community's information needs. In fact, the first STINFO duty listed in AFR 83-1 is to set up procedures to provide or obtain scientific and technical information services to meet the needs of the organization.

Some of the most important of the information services to be aware of are discussed in this section. The services user support services that are discussed here are:

1. Defense Technical Information Center (DTIC) -
2. Foreign Technology Access (CIRC II)
3. Commercial Databases
4. IR&D Responsibilities
5. Technical Meetings
6. Government Industry Information Exchange (GIDEP)
7. Information Support Training



# Defense Technical Information Center (DTIC)

Defense Technical Information Center  
Building 5, Cameron Station  
Alexandria, VA 22304-6145  
(202) 274-6434, Autovon 284-6434

DTIC is the central point within the DoD for acquiring, storing, retrieving, and disseminating scientific and technical information to support the management and conduct of DoD research, development, engineering and studies programs. DTIC's governing regulation is DoD Directive 3200.12, *DoD Scientific and Technical Information Program*, and it is under the operational control of the Defense Logistics Agency (DLA).

The Air Force policies, responsibilities, and support procedures regarding DTIC are specified in AF Regulation 80-44.

## DTIC Databases

DTIC maintains three major databases. These databases are:

1. The **Technical Report (TR) Database** is a collection of bibliographic citations to documents in the reports collection. All citations are to documents which have been assigned an AD number. The bibliographic information in the file is essentially the information reported on SF 298, *Report Documentation Page*, that is included in each report sent to DTIC.
2. The **R&T Work Unit Information System (WUIS) Database** is a collection of information about all the ongoing (and many of the past) DoD work units.
3. The **Independent Research and Development (IR&D) Database** contains descriptions of technical programs which are initiated and performed by DoD contractors and are not wholly funded by DoD. IR&D records are considered proprietary information and are exempt from disclosure under the FOIA. IR&D information is available to DoD engineers and scientists.

**“DTIC is the single most important information service for defense engineers and scientists to be aware of.”**

## **DTIC Services**

Some of the more important services that DTIC provides are:

### **1. Archiving and secondary distribution of technical publications.**

One of DTIC's major functions is to collect and archive technical publications. DTIC's technical reports collection contains around 1.7 million documents, and because almost all documents distributed by DTIC are either microform blow-backs or microform copies, no document ever goes "out-of-print."

As the official secondary distribution channel for technical publications within the DoD, DTIC provides a rapid and effective means for DoD employees and contractors to obtain copies of reports.

### **2. Online access to its major databases via the DROLS system. And, "demand bibliographies" for those not having DROLS access.**

The Defense RDT&E Online System (DROLS) links remote terminals to DTIC's central computer at Cameron Station. Users of this system can query the major DTIC databases to answer specific questions and to generate custom bibliographies on a specific topic.

Access to DROLS is either via any microcomputer or terminal equipped with a modem, or via dedicated lines to terminals equipped with cryptographic equipment for classified service. (Although a lot of classified material is in the DTIC collection, only a very small fraction of these documents have either a classified abstract or classified title. Therefore, dedicated access is not, in most cases, really needed and can seldom be justified in terms of the added expense and inconvenience. This is especially true since classified bibliographies can be requested online from an unclassified terminal, and the results send directly from DTIC to the requestor in a very short time.)

By using DROLS, the standard bibliographic fields such as author, source, keywords, etc. can be used as search terms to generate lists of citations meeting the search criteria. Once a search has been performed, the outputs can be either examined onscreen, downloaded and printed out at the terminal, or printed offline and sent to the requestor the next day. Usually the decision is a function of the size of the output and how much of a hurry the requestor is in.

### **3. Custom, automatically generated bibliographies via the Current Awareness Bibliography CAB Program.**

The CAB program is a customized, automated bibliography based on a subject profile of a specific user. Every 2 weeks, the user's subject interest profile is matched against information contained in newly accessioned technical reports. A paper document containing the citations which match the user's profile is then sent to the subscriber automatically.

This is a very powerful service. However, the drawback to the CAB as well as similar current awareness services is that user interests change over time. If these profiles are not updated periodically, the user profile will slowly become less relevant and the bibliographies will be worthless.

**4. Referral database of defense organizations containing information such as their fields of expertise, etc.**

DTIC maintains a referral database of information on S&T government-sponsored activities with the capability and willingness to serve the defense community in their field of expertise. The most fundamental type of search would be to identify RDT&E activities with expertise in a particular technical area.

This database is not online, but will be searched if requested by telephone or by letter. In addition, the database is printed out regularly and issued as an unclassified paper document. The latest edition is AD-A138 400, *DTIC Referral Data Bank Directory*.

**5. A listing of many important DoD databases in the DoD Database of Databases.**

An evolving project at DTIC is the compilation of a directory of DoD R&D databases. This directory and database will serve as a unified reference to all R&D databases within the DoD. This worthwhile project has been ongoing for a couple of years, and should be supported. A printed version of the database is available as AD-B116 400.

**6. Common access to all Government database collections via SearchMaestro and the Intelligent Gateway project.**

Another evolving project at DTIC is the Intelligent Gateway project. The idea of an electronic gateway is to provide a single telephone number, password, bill, and search language into a number of databases. These services have evolved to the point that you can use your charge card to access 800 commercial databases without any initial signup or instruction!

The Intelligent Gateway provides access to the DOE and NASA collections of databases, in addition to the DoD databases. It also provides an electronic mail capability, a means to access the commercial databases (if you have an account already established), and access to some other minor databases.

**7. Maintenance of *How to Get It*.**

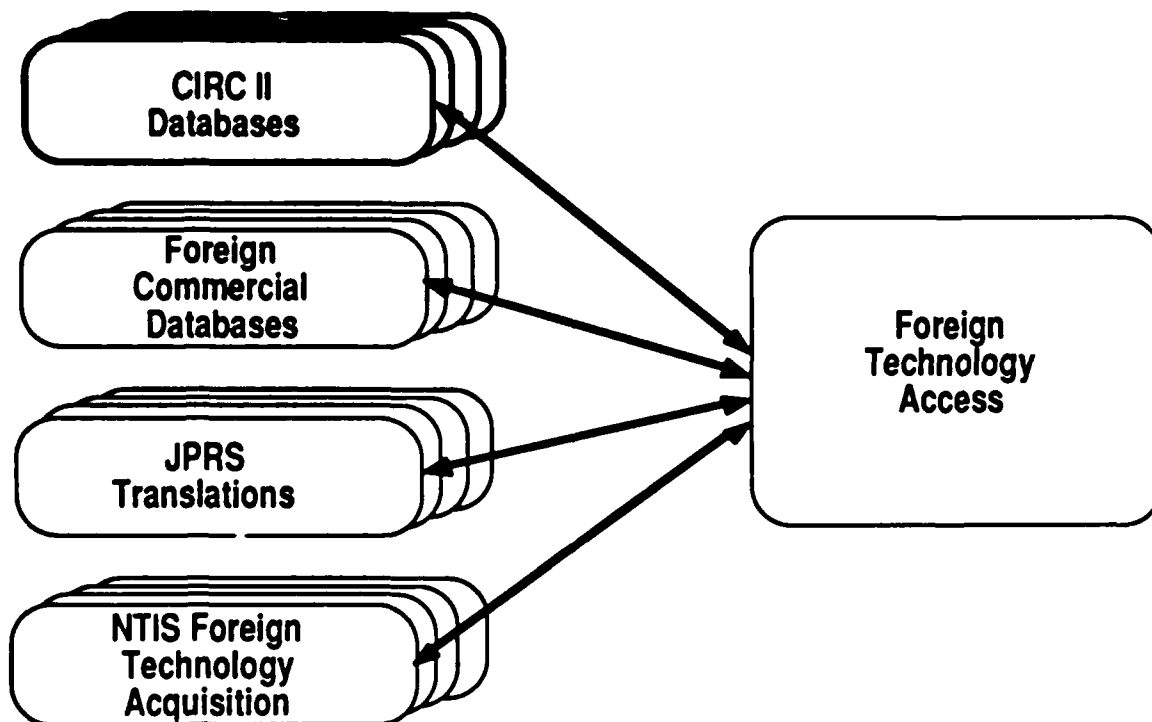
One of the most important reference books available to anyone dealing with defense information is *How to Get It*, AD A201 600. This book lists, for all types of defense publications, (1) what the publication is and who generated it, (2) where it is indexed or listed, and (3) how to get copies of titles in the series.

## Relationship Between the STINFO Program Manager and DTIC

The STINFO Program Manager is responsible for setting up procedures to obtain technical information services from DTIC (AFR 83-1), as well as ensuring that their organization is contributing to DTIC's collections and databases.

## Foreign Technology

The sixth STINFO Program Manager duty listed in AFR 83-1 is to "Maintain close liaison with Air Force foreign technology specialists to ensure that foreign research results are available to Air Force scientists, engineers, and managers."



## CIRC II

The CIRC II system is the national system for the processing, storing, retrieval, and dissemination of foreign scientific and technical written word intelligence information. It is operated by the Air Force



Foreign Technology Division (FTD) as part of the Scientific and Technical Intelligence Information Service Program (STIISP) of the Defense Intelligence Agency. The contact for information about CIRC II is:

CIRC II Monitor  
FTD/SIOO  
Foreign Technology Division  
Wright Patterson AFB, OH 45433-6508  
(513) 257-2533, Autovon 787-2533

The CIRC II system has two functions. First, it supports the mission of the five service-related intelligence production agencies. In addition to FTC, these include the Army Foreign Science and Technology Center, the Army Missile Intelligence Agency, the Armed Forces Medical Intelligence Center, and the Naval Technical Intelligence Support Center. Second, CIRC II supports all Government-sponsored research and development agencies. The CIRC II system is quite large, containing citations to well over 9 million S&T documents in 12 S&T databases.

### **Joint Publications Research Service (JPRS)**

The Joint Publications Research Service (JPRS), 1000 N. Glebe Road, Arlington, VA 22201, translates and abstracts foreign language technical and political media for Federal agencies. Most JPRS publications are concerned with communist countries, although there are a number of Asian, Latin American, and African titles produced. About one half of the materials abstracted are in the scientific and technical fields.

JPRS reports are available by subscription from NTIS. These reports are basically abstracting journals, and hence are very "digestible" to English-speaking technical personnel. Sample technical titles in this series are U.S.S.R./Chemistry, U.S.S.R./Engineering and Equipment, etc.

### **Foreign Technology Acquisition at NTIS**

Located within the National Technical Information Service is the Office of International Affairs. This office is heavily involved in a number of programs that are concerned with foreign technology acquisition. One aspect of this program are agreements with foreign countries that lead to the exchange of access to U.S. information for access to that country's technical information. This has led to there being a significant portion (over 20%) of foreign S&T reports in the NTIS collection. Thus, whenever any search is made of the NTIS database, the searcher is automatically also searching a part of the world's store of technology.

### **Foreign Technology Databases**

The online commercial database phenomenon is world-wide in scope. A indication of just how world-wide can be seen by a quick glance through the address list in any database directory. Examples of the foreign databases that are available to anyone with the language skills needed to

deal with them are the databases available from the Japan Information Center of Science and Technology (JICST). These include the JICST File on Current Science and Technology in Japan, JICST File on Science and Technology, JICST File on Science, Technology, and Medicine in Japan (in English), and many others. Another example is the set of French databases available from the Centre National de la Recherche Scientifique, Centre de Documentation Scientifique et Technique. Access to these, and many other commercial foreign technical databases, is available to any researcher willing to pay for the service.

## Commercial Databases

The most important information resources available today are the thousands of online commercial databases. These databases, which are available to anyone with a modem and the ability to pay for them, cover the S&T literature from Vapor Pressure Datafiles to Soviet Science and Technology. While the bulk of these databases are referral in nature (they serve as an index into some class of literature), many others are source databases and contain the numbers or full-text of the covered articles.

The database phenomenon has had a growth curve that almost rivals the ubiquitous personal computer. In 1980, the *Directory of Online Databases* listed 400 databases. The 1987 edition of this same directory listed 3487 databases, and the current 1990 edition lists well over 4500 databases. These are all databases that are online at some computer.

## STINFO Responsibilities Concerning Commercial Databases

The STINFO responsibilities regarding commercial database access are:

1. To be aware what databases are available, especially what S&T and military databases are available that pertain to the activity's interests.
2. To know what the current database access procedures are at the activity and how information about this access is currently being promoted within the organization.
3. To set up procedures to ensure that these services are being promoted and used to the full extent possible.

## Database Availability

There are a large number of databases available online and the number is growing at a rapid rate. In order to determine what databases are currently available, the choice is either (1) a database search in a "database of databases", or (2) a search of an appropriate directory.

One of the best directories is the *Directory of Online Databases* published by Cuadra/Elsevier, 52 Vanderbilt Avenue, New York, NY 10017. It is a quarterly publication that most technical libraries subscribe to

## **IR&D**

Independent Research and Development (IR&D) is a DoD contractor's technical effort which is not sponsored or required in the performance of a contract and which consists of projects falling within basic or applied research, development, systems and other concept formulation studies. IR&D is directed toward continually improving the contractor's technological competence in order to meet DoD's future requirements for advanced technology, systems, or hardware in a timely and technically competitive manner.

Participation in the IR&D program is not mandatory, but because it brings in additional research funds, it is participated in by all contractors who qualify for the program. Originally, the criteria for participation was to be one of the top one-hundred contractors in terms of prime contract awards. This has changed and now participation is mandatory for contractors receiving more than \$4.5 million in prime DoD contracts.

The IR&D program starts with the contractors preparing annual IR&D plans (called "brochures") describing all the work planned or ongoing under this program. These plans are disclosed to the Government, evaluated, and are given scores. The composite score a company receives plays a part in determining that contractor's negotiated Bid and Proposal rates (B&P) for the following year.

### **IR&D Information**

One of the important things to be aware of concerning IR&D data is that it is company proprietary and is exempt from disclosure under the FOIA. Also, IR&D information is limited to U.S. Government access only, with contractors being excluded from access to the IR&D database.

IR&D information takes two forms. First the physical brochures that are submitted by the companies contain the project descriptions that are actually scored. These tend to be bulky and contain a great deal of supporting information about each project. The binders that contain projects scored by that activity are usually kept in a secure area by the IR&D focal point, but are accessible by any Government engineer wanting to review or access the data.

The second form the IR&D information takes is as a short indexed summary submitted to DTIC on DTIC Form 271. This information is gathered and compiled into the IR&D database where it can be searched by

DTIC government users. The information in this database is a one-page summary of the larger multi-page description found in the brochure.

The IR&D information has important uses beyond its direct use for scoring. First, whenever a new DoD project is proposed, the IR&D database should be searched to determine if there is any duplication of effort or similar projects that the proposed project should be coordinated with. Second, when seeking contractors or evaluating proposals, the IR&D database can be valuable in establishing a track record, accomplishments, and ongoing work in a particular field.

### **STINFO Responsibilities Regarding IR&D**

The IR&D brochures, processing, and scoring is handled by an IR&D focal point at each activity performing IR&D evaluations. This aspect of IR&D is not of direct interest to STINFO.

The IR&D database should be searched (along with the WUIS and TR databases) whenever a new R&D work unit is initiated. Also, the STINFO Program Manager should be knowledgeable as to the location and status of the physical brochures (they are usually kept only for the current year and then destroyed) so as to be able to refer the user to this collection, and to include access procedures in any user training that is set up.

## **Technical Meetings**

The STINFO Program Manager duties regarding technical meetings are to:

1. Help plan technical meetings.
2. Become familiar with foreign disclosure procedures when foreign nationals are invited to take part in meetings.
3. Report on planned meetings and ensure that interested personnel are informed of such meetings.

The Air Force policies and guidance on this function are set out in AFR 80-43, *Sponsoring or Cosponsoring and Conducting Scientific and Technical Meetings*.

### **What is and is not Considered a Technical Meeting**

The definition of a technical meeting seems both intuitive and general. A technical meeting is defined as a formally scheduled session conducted by DoD components, DoD contractors, or by an association, institute, or society whose membership consists of DoD contractors or DoD personnel. However, there are also audience and size considerations that

can impact this definition. A meeting of just DoD personnel or a meeting of contractor and DoD personnel involved in a specific project is not usually considered a "technical meeting" even if it is formally scheduled. However, if the audience is at all open (in the sense of discretionary attendance), or if the meeting involves technical papers being prepared and presented, it is almost certainly a "technical meeting."

### **Sponsoring/Cosponsoring Technical Meetings**

Air Force organizations are encouraged to sponsor or cosponsor technical meetings when it is in the interest of the Air Force to have the information issued promptly and widely, and to exploit discoveries and share information, innovations, and inventions. Holding such meetings is usually an infrequent and irregular activity of those involved. It is part of the STINFO Program Manager's responsibility to help these individuals comply with the regulations.



The fundamental meeting sponsorship points to be aware of are:

1. A technical meeting where classified military scientific and technical information is disclosed is subject to a number of controls. Among the more important of these controls are (1) the meeting may only be sponsored by a DoD activity, (2) the sponsoring activity takes on the burden of security and must appoint a security sponsor to ensure that the provisions of the Security regulations are met, and (3) the meeting may only be held at either a DoD site or a cleared contractor site.

2. A technical meeting where unclassified export-controlled technical information is disclosed is also subject to controls. The most important control is that such data must be presented only in sessions where the recipients are eligible to receive such data, unless specific release authority has been received.

3. A technical meeting involving foreign nationals in the audience is subject to the rules of Foreign Disclosure and all presentations must be cleared by the Foreign Disclosure Office.

4. A technical meeting involving the public (as opposed to just Government employees and DoD contractors) is subject to the security review process performed by the Public Affairs Office. This is true for all DoD employee unclassified presentations and all DoD contractor presentations if stipulated in the contract.

### **Foreign Participation at Technical Meetings**

The rules concerning foreign participation at technical meetings are different for classified and unclassified meetings. If the meeting is classified, guidelines for foreign participation are established in DoD Directive 5230.11, *Disclosure of Classified Military Information to Foreign Governments and International Organizations*, and DoD Instruction 5230.20, *Control of Foreign Representatives*. In addition, all foreign participation in classified meetings must be reported as per DoD Directive 5200.12, *Policy on the Conduct of Meetings Involving Access to Classified Information*.

If the meeting is unclassified, foreign participation is under the control of the meeting sponsor. If there is foreign participation, then the level of DoD participation must take this into account, especially in the matter of export-controlled unclassified information.

### **Proceedings of Technical Meetings**

The papers presented at technical meetings are considered a STINFO product and should be given a report documentation page and forwarded to DTIC for announcement and secondary distribution. It is the STINFO Program Manager's responsibility to see that the presenters are aware of this requirement and execute it. It is a local decision as to whether the proceedings should be submitted as a single document, or the individual papers should be submitted as separate documents. In any case, where both classified and unclassified papers are given, they should be separated into separate unclassified and classified documents.

### **STINFO Involvement in Technical Meetings**

The STINFO involvement in the technical meeting process is to:

1. Review all requests for sponsoring meetings.

2. Establish a request procedure and guidance so that individuals will know the steps to follow, policies, required endorsements, forms and letters to submit, and expected lead times.
3. Assist the requestor in following this procedure.
4. Track all papers presented and proceedings to ensure that the author/contracting office prepares a report documentation page and submits the paper through the STINFO office to DTIC.

### **Regulations Relating to Sponsoring, Cosponsoring, and Conducting Technical Meetings**

There are a number of Air Force regulations and DoD directives that relate to sponsoring meetings and presenting papers at these meetings. These are:

- |    |               |  |
|----|---------------|--|
| 1. | AFR 80-43     | Sponsoring or Cosponsoring and Conducting Scientific and Technical Meetings.                         |
| 2. | AFR 30-9      | Meetings of Technical, Scientific, Professional, or Similar Organizations.                           |
| 3. | AFR 80-34     | Withholding Unclassified Technical Data From Public Disclosure.                                      |
| 4. | DoD 5220.22-M | Industrial Security Manual for Safeguarding Classified Information.                                  |
| 5. | DoD 5200.12   | Policy on the Conduct of Meetings Involving Access to Classified Information.                        |
| 6. | DoD 5230.11   | Disclosure of Classified Military Information to Foreign Governments and International Organizations |

### **Government-Industry Data Exchange Program (GIDEP)**

GIDEP Operations Center  
 Department of the Navy  
 Naval Fleet Analysis Center  
 Corona, CA 91720  
 (714) 736-4677

GIDEP is a cooperative activity between a large number of Government and Industry participants seeking to reduce or eliminate expenditures of time and money by making maximum use of existing technical data. The program provides a means to exchange certain types of unclassified technical data essential in the research, design, development, production, and operational phases of the life cycle of systems and equipment.

Air Force participation in GIDEP is governed by AFR 80-10, ***Government-Industry Data Exchange Program***. This regulation states that GIDEP participation is mandatory for Air Force Systems Command and Air Force Logistics Command activities involved in "acquisition, contracting, manufacturing, research and development, modification, reliability, quality assurance, and logistics," and authorizes the use of a number of reporting forms.

The five data interchanges (databases) that GIDEP supports are:

1. **Engineering Data Interchange** - Contains engineering evaluation and qualification test reports, nonstandard parts justification data, parts/materials specifications, manufacturing processes, failure analysis data, and other related engineering data on parts, components, materials, and processes. Also included are reports on specific engineering methodology and techniques.
2. **Metrology Data Interchange** - Contains test equipment calibration procedures and related metrology engineering data on test systems, calibration systems, and measurement technology.
3. **Reliability-Maintainability Data Interchange** - Contains failure rate/mode and replacement rate data on parts and components based on field performance information or based on reliability demonstration tests of equipment, subsystems, and systems.
4. **Failure Experience Data Interchange** - Contains objective failure information generated when significant problems are identified on parts, components, processes, fluids, materials, or safety information.
5. **Value Engineering Data Interchange** - This is a new database that contains summaries of DoD-approved value engineering projects.

GIDEP participation is not mandatory, nor is it even desirable for every defense activity. However, GIDEP participation should be considered for any activity that uses the types of information contained in the five data interchanges.



## **GIDEP Services**

GIDEP provides a number of services to its user community. These services are:

1. **Access to the five data interchanges.** Access is in the form of microfilm sets of source documents, hard copy indexes, and online access to the database through
2. **Alerts** - notifications of specific parts/materials/equipment failures by members of GIDEP.
3. **Safe-Alerts** - Similar to Alerts, but pertaining to worker hazards.
4. **Urgent Data Requests** - a system by which a GIDEP participant may query all other GIDEP members on specific problems.

## **Relationship Between the STINFO Program and GIDEP**

There is no formal relationship between the GIDEP Program and the STINFO Program. However, GIDEP participation represents both an information flow both into and out from an organization. The only allowable information flow out of your organization and into GIDEP is unclassified/unlimited data, and this data must be cleared through the Public Affairs Office.



## **9. STINFO Duties - Liaison and Coordination**

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**The STINFO PM, because of their role in managing the organization's information, must interface with many organizations for a number of different reasons.**

### **Key Point**

- The STINFO Program Manager interfaces with many other individuals and programs. Some of these groups, individuals, and programs are shown in the following diagram:

<b>Unit Command Structure</b>	<b>Foreign Disclosure Policy Office</b>	<b>Naval Forms and Publications Center</b>
<b>Local Engineers and Scientists</b>	<b>Public Affairs Office</b>	<b>FEDLINK</b>
<b>IR&amp;D Focal Point</b>	<b>Freedom of Information Act Focal Point</b>	<b>Customer Account Representative</b>
<b>Program Management Offices</b>	<b>Information Analysis Centers</b>	<b>Contracting Office</b>
<b>Air Force Information for Industry Offices</b>	<b>Staff Judge Advocate and Patent Office</b>	<b>Intelligence Office</b>
<b>Air Force Potential Contractor Program</b>	<b>National Technical Information Service</b>	<b>Defense Technical Information Center</b>
<b>Technical Libraries</b>	<b>Small Business Innovation Research Program</b>	<b>Editing, Illustration, Printing and Reproduction</b>
<b>Data Management Office</b>		

**SOME OF THE OFFICES AND PROGRAMS  
THE STINFO OFFICE WORKS WITH**

## **Unit Command Structure**

It is important to a successful local STINFO program that the STINFO Program Manager coordinate the program with the needs of the local unit command structure or activity administration. To support the needs of the local administration, the STINFO Program Manager should be a contributing member of regular staff meetings involving the technical activities of the organization. Some STINFO Program Managers prepare regular status summaries of all STINFO being processed, as well as identifying specific problems and recommending actions on these problems.

## **Local Engineers, Scientists, and Program Management Offices**

The STINFO office has a responsibility to the local engineers, scientists and program management offices in a number of areas. (Most of these were discussed earlier under the heading "User Support.") Some of the areas are:

1. Training as to STINFO responsibilities, services, and procedures.
2. Information support including access to DTIC databases and related services.
3. Technical meeting sponsorship guidance.
4. Expeditious processing of all generated STINFO materials.

## **Relationship of the STINFO Program to the Technical Library**

The fundamental relationship of the STINFO Program Manager to the local technical library is to help the technical librarian identify the STINFO needs of the organization.

Since the STINFO Program Manager's main function is not to create or maintain collections of technical materials, there is little or no overlap in this area. However, because STINFO is the primary interface to DTIC's services, there is a great deal of common interest in providing online services to the user community. (The only collection of materials that the STINFO Program Manager might be responsible for are those few items held back from DTIC submission.)

## **Data Management Office (DMO)**

The duties of the Data Management Office (DMO) and the STINFO office are very complementary. The DMO (which is a part of the contracting chain) duty of highest interest to the STINFO function is that the DMO advises and assists project officers on the completion of the Contract Data Requirements List (CDRL), and then monitors the technical data deliverables.

The CDRL (DD Form 1423) is the part of a contract that specifies all technical data deliverables required by that contract. Each deliverable is identified by number, title, and contract reference. Also, the distribution, frequencies, and due dates for each item are also specified. Each item on the CDRL is referenced to a Data Item Description (DID), and usually has some specific comments that add to the information in the DID. Because the CDRL specifies all contractor-generated STINFO items, it is one of the major inputs into any STINFO tracking and monitoring system.

A Data Item Description (DID) is a set of rules that define for the contractor the content and substance of that data item. In essence, because the contractor is not obligated to follow the military regulations, the DID serves in their place to standardize the contract deliverables. Hopefully, this ensures that when the contract specifies a technical report, the contractor delivers a technical report.

The DID itself is DD Form 1664, and there are a large number of DIDs (around 3000) in existence. A complete set of DIDs can be found in your local DMO. The complete listing and index for the DIDs is found in DoD 5010.12-L, Acquisition Management Systems and Data Requirements Control List, also known as the AMSDL. The DID which is to be used for Scientific and Technical Reports has recently been revised and has been assigned number DI-MISC-80711. A copy of this DID is included in the Appendix to these notes.

It is the technical office, not the DMO or STINFO, that usually receives the items from the contractor and signs off on the DD 250 Form. The technical office then, eventually, passes the items to STINFO for processing. It is very important that the items be reviewed for completeness, adherence to standards, and that they meet any other requirements of the DID before the technical office officially accepts and signs off on the item.

## Foreign Disclosure Policy Office (FDPO)

According to National Disclosure Policy, information is a national security asset which must be conserved and protected. Military information is information under the control of the DoD and its departments, and requires protection in the interest of national security.



SHARING INFORMATION  
WITH A FOREIGN NATIONAL  
IS TERMED **FOREIGN  
DISCLOSURE**.

ONLY AN AF FOREIGN DISCLOSURE  
POLICY OFFICE CAN  
AUTHORIZE FOREIGN DISCLOSURE

Sharing information with foreign nationals is termed **foreign disclosure**, and refers to the authorized transfer of military information to a foreign government, foreign national, or international organization such as NATO.

Normally, U.S. classified military information is provided only to officials of the U.S. Government and to U.S. defense contractors who have (1) the proper security clearance, and (2) have a need to know the information to do their job. This same information may be shared with a foreign government or international organization only in certain situations. There are five policy objectives, or criteria, all of which must be satisfied before foreign disclosure will be approved. These are:

1. Disclosure must be consistent with the U.S. foreign policy toward the recipient nation or organization.
2. The disclosure must not seriously jeopardize the military security of the U.S.
3. An assessment of the foreign recipient's ability to give the information substantially the same degree of security protection that we give it must be made.

4. The benefits to the U.S. must be at least equivalent to the value of the information disclosed.
5. The information to be provided must be limited only to that which is necessary to accomplish the purpose of the disclosure.

The Secretary of the Air Force has the authority to disclose or deny access to U.S. classified military information originated within the Air Force. The Foreign Disclosure Policy Office (HQ USAF/CVAIP) is designated as the principal for disclosure matters within the Air Force, and this office has, in turn, delegated disclosure authority to Foreign Disclosure Policy offices at the major commands and at subordinate levels.

It is the Foreign Disclosure Policy Office that has overall responsibility to implement Air Force foreign disclosure policies and procedures, and arrange for the authorized release of military information to foreign governments and foreign nationals. FDPOs are guided by Delegation of Disclosure Authority Letters (DDLs), that are issued by HQ USAF/CVAIP. The DDLs establish guidelines and provide authority to release classified U.S. military information to foreign governments or international organizations on a continuing basis.

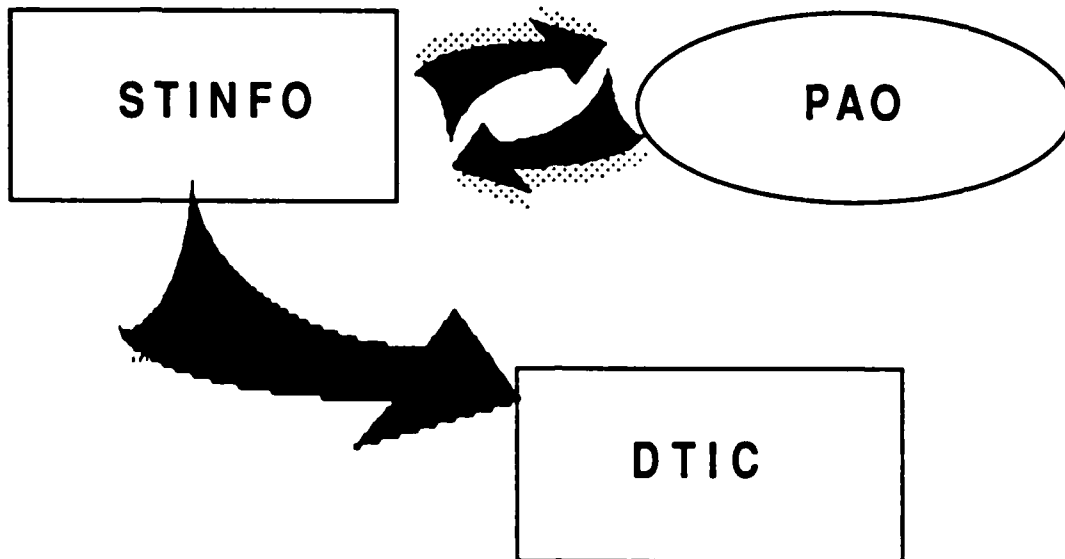
There is no ongoing direct interaction between the STINFO office and the FDPO.

## **Public Affairs Offices**

The Public Affairs program is an on-going effort to inform and increase the public understanding of the missions and programs of the Air Force. **Security and Policy Review** is a service performed by Public Affairs personnel to ensure that the information is released quickly, unclassified, technically accurate, and conforms to established Air Force and DoD policies. All limitations and policies concerning technology transfer, such as the withholding of unclassified technical data from public disclosure and the International Traffic in Arms Regulations must be adhered to.



## Statement A STINFO



The review of information prior to public release is usually called a Security and Policy Review, and must be applied to all technical information, no matter what size, shape, or form it takes. The major exception to this rule is information derived from 6.1 funding (basic research) whether done by a contractor or a university, and information derived from 6.2 funding (exploratory development) and performed on campus at a university.

Security and policy review begins with the material being submitted to the cognizant Public Affairs Office (as per AFR 190-1.) The material is logged in, given a quick check by the reviewer, and (in most cases) is sent on to one or more appropriate staff agencies for comment.

After receiving any comments on the material, the reviewer either clears the material as is, clears the material with recommended changes, forwards the material for higher headquarters review (the PAO tries for clearance at the lowest possible level), or denies the clearance of the material. If denied, the reviewer is required to return the material to the originator with an explanation of why the clearance was not granted.

It is important to note that this process also applies to contractor materials (symposium papers, news releases, articles, advertising, films, scripts, and photos) generated under DoD or Air Force classified contracts. This requirement is placed on them through DD Form 254, Contract Security Classification Specification, and accepted by them at the time the contract is signed.

## **The Freedom of Information Act (FOIA)**

- The FOIA is the legal channel for public access to government records.
- AFR 12-30, Air Force Freedom of Information Act Program, is the governing regulation.
- FOIA requests are processed by the FOIA monitor, the office of primary responsibility for the materials, and the Staff Judge Advocate.
- There are many exempt materials from FOIA release, including materials available from National Technical Information Service (NTIS) and the Government Printing Office (GPO).
- In the case of unclassified technical documents with military or space application and export controls which would have been denied FOIA release, qualified U.S. contractors may get access through certification, but this channel is not a FOIA request.
- The STINFO office has no direct responsibility in the FOIA process, but should assist the FOIA monitor as necessary in the processing of FOIA requests. There will be situations in which the STINFO office is the designated Office of Primary Responsibility for specific documents.

Public access to information has long been an issue in the U.S. In 1966 Congress passed legislation, called the Freedom of Information Act to broaden public access to government records. This Act was amended in 1974 to remove obstacles that the bureaucracy erected since 1966, and amended again in 1984 to limit access to certain CIA records.

The 1966 act requires executive agencies to make records, reports, policy statements, and staff manuals available to citizens who request them, unless the materials fall into an exempt category. The exempt categories are:

1. Secret national security or foreign policy information.
2. Internal personnel practices.
3. Information exempted by law such as income tax returns.
4. Trade secrets, other confidential commercial or financial information.
5. Inter-agency or intra-agency memos.
6. Personal information, personnel, or medical files.

7. Law enforcement investigatory information.
8. Information related to reports on financial institutions.
9. Geological and geophysical information.

In 1974 Congress passed a large number of amendments to the FOIA, mainly to remove some of the common obstacles that citizens encountered in trying to get information through the original FOIA. Some of these amendments were:

1. Required federal agencies to publish indexes of final opinions on FOIA-requested materials, and to supply annual FOIA summary reports to Congress.
2. Required release in cases where the request contained only a description of the materials, as opposed to the exact title.
3. Required agencies to establish uniform fees and to publish them. (Most agencies waive fees under a certain dollar amount, usually around \$30.)
4. Set up time limits for responding to requests.
5. Amended the wording of the security exemption to make it clear that it applies only to *properly* classified information.

The only material covered by the FOIA are documents, not information. If the record does not exist as a document or file, it does not come under FOIA.

There are a number of exemptions from release under the FOIA.

1. If the publication is available from either NTIS or GPO, it is exempt from the FOIA. Note that this covers all Statement A technical documents, and a number of Air Force Manuals, etc.
2. If the publication contains contractor proprietary information. This covers documents containing trade secrets and commercial or financial information submitted by a person outside the Air Force, and submitted with the understanding that it will be kept on a privileged or confidential basis. Included in this category are contractor cost and technical proposals.
3. Information from personnel and medical files.
4. All classified information.
5. Certain unclassified technical data which would be subject to export control, and with military or space application. However, "qualified U.S. contractors" may have access to this

data once they have been certified. Requests made following this channel are not FOIA requests.

6. Pre-decisional information which contain advice, evaluations or recommendations, the disclosure of which would reveal the deliberative process of the Air Force.
7. Requests received from foreign governments. (These are forwarded to the Foreign Disclosure Policy Office for processing.)

The individuals and offices involved in the processing of FOIA requests are:

1. FOIA Managers, who serve as focal points for FOIA requests received by the organization and manage the FOIA program.
2. FOIA Monitors, who actually process the requests.
3. Office of Primary Responsibility, who have and control the information requested.

The STINFO office has no direct responsibility in the FOIA process.

### **Staff Judge Advocate and Patent Office**

Some of the STINFO-related situations in which interaction with the Staff Judge Advocate's office will occur will concern Government rights such as copyright, contractual interpretations, and QCAL disqualification. Also, it is the responsibility of this office to give advice and guidance on the release or denial of FOIA requests, and because the STINFO office will be called upon to help in processing FOIA requests, some interaction will occur in this context.

In addition, the Patent Office, which is usually part of the Staff Judge Advocate's office, handles all patent-related issues (such as licensing) at an activity as well as any Cooperative R&D Agreements that are negotiated. Both patent applications and issued patents are considered STINFO and should be given a SF 298 and submitted to DTIC.

### **National Technical Information Service (NTIS)**

National Technical Information Service  
5285 Port Royal Road  
Springfield, VA 22151  
703-487-4600

The primary function of NTIS is the central source for the public sale of Government-sponsored research, development, and engineering reports, as well as foreign technical reports. NTIS acts as (1) a repository

for these materials, (2) an organizer of these materials, and (3) as a secondary distribution source for these materials.

The NTIS collection exceeds 1.5 million titles, about 300,000 of which contain foreign technology or marketing information. (While very large, the NTIS collection is less than half the size of the Library of Congress reports collection which contains over 3.5 million titles.)

**WHEN YOU THINK OF NTIS**

**THINK OF**

**"UNCLASSIFIED, UNLIMITED,  
SALES TO THE PUBLIC"**

All titles are permanently on sale (there is no such thing as an out-of-print NTIS title), either directly from the 80,000 titles in shelf stock or from the microfiche masters of titles less in demand. About 70,000 new titles are added to the collection each year, and each year NTIS ships about 6 million items.

The main organizing tool for the NTIS collection is its Bibliographic Data File, which is available online from all of the major database vendors and is one of the most used S&T databases. By using this database, technical materials can be located by author, title, subject, and many other search points.

In addition to its role as a repository/distributor of technical reports, NTIS has a number of other programs that the STINFO Program Manager should be aware of. These include (1) an International Technology Acquisition Program whereby NTIS tries to "exchange" access to the NTIS collection for materials from another country; (2) the Center for the Utilization of Federal Technology (CUFT) which provides various services to improve industrial access to federal technology, (3) a Federal Research in Progress database (not generally contributed to by DoD). (4) the Communist media translations made by the Joint Publications Research Service, and (5) a Federal Software Exchange Center to exchange software between Federal agencies.

Because the purpose of CUFT is to link U.S. business with federal technology, its services and products are important. The major products and services of CUFT are (1) annual catalogs of Government patents and licensing arrangements, (2) the monthly *Tech Notes* publication and the corresponding annual index, and the annual *Directory of Federal Laboratory & Technology Resources*.

There is no direct relationship between the AF STINFO program and NTIS. However, one important interaction is that defense organizations pay for DTIC services through their NTIS deposit account.

All of the information stored by NTIS is unclassified/unlimited (Statement A - Approved for Public Release) and is accessible by anyone with few restrictions, including foreign nationals. All Statement A reports submitted to DTIC will be passed on to NTIS automatically for public sale. This fact should be kept in mind when assigning a distribution statement to a document.

The *Directory of Federal Laboratory & Technology Resources* is of high interest because it contains a fairly complete listing of the Federal IACs. The laboratory listing contains a summary of the "expertise" for that laboratory, as well as a contact point who can be contacted directly by outside industry.

You should keep in mind that there is a tremendous amount of overlap of the materials in NTIS and the collections of DoD, DOE, and NASA. In fact, if access to the publication is currently unlimited, NTIS should have a copy of it in its collection.

## **Small Business Innovation Research (SBIR) Program**

The DoD SBIR Program is coordinated through:

Deputy Director  
Office of Small and Disadvantaged Business Utilization  
Room 2A 340, The Pentagon  
Washington, DC 20301  
(202) 697-9383

In 1982 the Small Business Innovation Development Act was passed by Congress to stimulate U.S. productivity and economy through increased technological innovation. The Act provides for the federal government to use small businesses to meet its needs for technology. Originally the Act was to last for five years, ending in 1988. The Act has been extended for an additional period of five years and is now scheduled to end in 1993.

Beginning in FY 83, federal agencies with R&D budgets in excess of \$100M per year began to allocate set percentages of these funds for SBIR programs. The opportunity to compete for these funds is in the form of a single, annual SBIR solicitation from the DoD. This solicitation and the

solicitations from other agencies are coordinated by the Office of Innovation, Research and Technology, Small Business Administration, Washington, DC 20435, (202) 653-6458. This office also issues quarterly release schedules for all agency solicitations under this program.

Under the law, the SBIR program operates as a three-phase process. Phase I is based on proposals solicited by participating agencies. The DoD issues one Small Business Innovation Research solicitation each year. This solicitation is the vehicle through which the SBIR program thrusts of the DoD are announced. These solicitations contain topics on which small firms are invited to submit proposals. Phase I winners are awarded average contracts of \$50,000 to complete a six month effort.

Phase II is the principal R&D effort with a duration of less than two years. Most Phase II awards are between \$200,000 and \$500,000. Awards for Phase II work are based on the results of Phase I efforts and the scientific and technical merit of Phase II proposals. Phase III is conducted by the small business to pursue commercial application of the results of Phase II efforts. This Phase allows the business to pursue commercial applications of the work started in Phase I and II, and to seek non-Federal funding.

In FY 84 the DoD evaluated 3,007 proposals submitted under this program, of which 397 were actually funded for an average amount of \$54,000. The total amount of Phase I contracts was slightly over \$20 million dollars, an amount approximately equal to the total Phase II awards. The DoD contracts represents slightly under half the total U.S. program.

There is a special relationship between the SBIR program and DTIC because of the need of potential bidders to access DoD technical information. Basically, DTIC prepares a technical solicitation package for each topic in DoD's solicitation, and then provides these packages to small businesses which respond to these solicitations.

These technical support packages contain bibliographies of DoD-funded reports and summaries of R&D projects in progress. Referrals to IACs and other sources of technical information are also included in the package. Also, the small business may request any technical report mentioned in these bibliographies. (Prior to the actual receipt of a contract, these bidders are in a special DTIC category similar to if they were a potential contractor under the Potential Contractor Program.)

There is no direct connection between the SBIR and the STINFO office. You should be aware, however, that in support of the SBIR, your organization probably contributes to the SBIR program solicitation. Bidders (or potential bidders) on SBIR solicitations can get access to unclassified, unlimited DTIC materials in a special potential user category, and this category is upgraded as the contracts are awarded. Also, one of the outputs from an awarded SBIR effort will be STINFO materials, and these are handled as other contractor-generated STINFO containing proprietary information.





## 9. STINFO Terminology: Definitions and Abbreviations

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Understanding the vocabulary and acronyms used in the STINFO world goes a long way towards understanding the STINFO function.



FIRST, CHECK THE  
ITAR AND MCTL IN THE  
CFR, THEN THE TR  
FILE IN DTIC'S DROLS.

# STINFO Vocabulary

**Abstract** - A brief factual summary of the most significant information contained in a document.

**AD Number** - The number assigned to documents by DTIC. This is the number used when ordering documents from DTIC or NTIS. The letters AD originally meant "ASTIA Document", for the post-WW II committee set up to advise and organize scientific and technical information. The letters AD now mean "Accession Document."

**AFIFIO** - acronym for **Air Force Information for Industry Office**

**AFPCP** - acronym for **Air Force Potential Contractor Program**

**ANSI-STD** - American National Standards Institute Standard

**Air Force Information for Industry Office (AFIFIO)** - Offices providing access to USAF R&D planning materials and other related documents to registered contractors.

**Air Force Potential Contractor Program (PCP, AFPCP)** - A program, administered by the AFIFIOs, that registers and sponsors access to DTIC and other planning information to individuals and companies with the potential to become defense contractors.

**Arms Export-Control Act (AECA)** - The law set out in 22 U.S.C. 2751-2794. This requires obtaining a license from the Department of State for exporting defense articles and services, including technical data related to weapons. It is implemented by the ITAR.

**CCAL** - acronym for **Certified Contractor Access List**

**CCL** - acronym for **Commodity Control List**

**CDRL** - acronym for **Contract Data Requirements List**

**Central Information and Control System (CIRC II)** - The national system for the processing, storing, retrieval, and dissemination of foreign scientific and technical written word intelligence information. In addition to supporting the service intelligence agencies, it supports all Government-sponsored R&D agencies.

**Certified Contractor Access List** - A list of those contractors eligible to receive export-controlled information.

**CFR** - acronym for *Code of Federal Regulations*

**CIRC II** - acronym for **Central Information Reference and Control System**

**Code of Federal Regulations (CFR)** - The annual codification of the general and permanent rules published in the *Federal Register*. The *Code* is divided into 50 titles that represent broad areas subject to Federal regulation. The *Code* is kept up to date by the individual issues of the *Federal Register*. Basically, the CFR contains the complete set of regulations of each government agency.

**Commodity Control List (CCL)** - A detailed listing prepared by the Department of Commerce to control the export of goods and technologies to specific countries.

**Contract Data Requirements List (CDRL)** - A list of the documentation requirements of a contract. It is attached to the Statement of Work in purchase request packages for proposed contracts. The CDRL is DD Form 1423.

**Controlling DoD Office** - DoD activity responsible for distribution of document whether work was done in-house, under contract, or under a grant.

**Data Item Description (DID)** - The collection of DD Form 1664s that are included in a contract to specify the form of the deliverables.

**Data Management Officer (DMO)** - Person responsible for the contents and format of the CDRL.

**Data Management Program** - the Air Force program for managing data acquired from industry under the terms of Air Force contracts.

**Defense RDT&E Online System (DROLS)** - The basic collection of online databases (including the technical reports, IR&D, and work unit summary databases) and search language vended by DTIC.

**Defense Technical Information Center (DTIC)** - Clearinghouse for the DoD collection of research and development in virtually all fields of science and technology.

**DID** - acronym for **Data Item Description**

**Distribution Statement** - A statement used in marking a technical document to denote the conditions of its availability for distribution, release, or disclosure.

**DMO** - acronym for **Data Management Officer**

**Document** - Any recorded information regardless of its medium, physical form or characteristics. A document can be written or printed material, magnetic tapes or disks, laser disks, maps, charts, photographs, negatives, films, videotapes, or any other media used for recording information.

**DoD** - Department of Defense

**DRIT** - acronym for *DTIC Retrieval and Indexing Terminology*

**DROLS** - acronym for **Defense RDT&E Online System**

**DTIC** - acronym for **Defense Technical Information Center**

***DTIC Retrieval and Indexing Terminology (DRIT)*** - Publication listing DTIC's controlled Posting Term vocabulary. This publication should be consulted whenever subject terms are being assigned to a technical publication in field 18 of DD Form 1473.

**EAA** - acronym for **Export Administration Act**

**EAR** - acronym for **Export Administration Regulations**

**Export Administration Act (EAA)** - Any of the laws which have been codified at 50 U.S.C. Appendix 2401-2420. These laws are the basis for the Export Administration Regulations.

**Export Administration Regulations (EAR)** - The set of regulations controlling the export of various materials and data to other countries. These regulations are administered by the Department of Commerce and contain the Commodity Control List (CCL).

**Export Control Laws** - Any law which bars exports from the U.S., or requires obtaining a license to make such exports.

**FDPO** - acronym for **Foreign Disclosure Policy Office**

***Federal Register*** - Issued each Federal working day, the *Federal Register* provides a uniform system for publishing Presidential documents, regulatory documents, proposed rules, and required notices.

**FOIA** - acronym for **Freedom of Information Act**

**Foreign Disclosure** - Sharing classified military information with a foreign national or foreign government.

**Foreign Disclosure Policy Office (FDPO)** - The organization within the Air Force responsible for implementing foreign disclosure policies and arranging for the release of classified materials to foreign nationals and foreign governments.

**Freedom of Information Act (FOIA)** - The legal authority under which the general public is allowed to review, inspect, and receive copies of Air Force records (with some exceptions.) The FOIA is codified at 5 U.S.C. 522, and regulated by AFR 12-30.

**GIDEP** - acronym for **Government-Industry Data Exchange Program**

**Government-Industry Data Exchange Program (GIDEP)** - A government-wide information program concerning with engineering type data such as testing reports and safety alerts.

**IAC** - acronym for **Information Analysis Center**

**Independent Research & Development (IR&D)** - Research and development that is primarily sponsored by the contractor but partially funded by the DoD because it has the potential for DoD use.

**Information Analysis Center (IAC)**- A specially approved organization which provides information services in selected, highly specialized subject areas. A large number of IACs exist, but only about 20 are sponsored by the DoD.

**International Traffic In Arms Regulations (ITAR)** - A Federal regulation prohibiting the export of technical data relating to defense items without the approval of the Department of State.

**IR&D** - acronym for **Independent Research & Development**

**ITAR** - acronym for **International Traffic In Arms Regulations**

**Material Inspection and Receiving Report (DD Form 250)** - Document used to certify that all contract requirements have been completed.

**MCTL** - acronym for **Militarily Critical Technology List**

**Militarily Critical Technology List (MCTL)**- The list issued by DoD under authority of the EAA of 1979. The MCTL lists technologies not possessed by countries to which exports are controlled, and which, if exported, would permit a significant advance in a military system of any such country.

**National Technical Information Service (NTIS)** - Central source for the public sale of U.S. government-sponsored research, development, and engineering reports, as well as for foreign technical reports and other analyses prepared by national and local government agencies and their contractors.

**NTIS** - acronym for **National Technical Information Service**

**Office of Primary Responsibility** - The office responsible for carrying out a specific function.

**OPR** - acronym for **Office of Primary Responsibility**

**PA** - acronym for **Public Affairs Office**

**Primary Distribution List** - List of addressees who receive reports on initial distribution.

**Public Affairs Office (PA, PAO)** - Office primarily responsible for security and policy review of all information, including scientific and technical information, that is to be released to the public.

**RDT&E** - acronym for **Research, Development, Test, and Evaluation**

**Report Documentation Page (New SF 250, old DD Form 1473)** - Form containing all the abstracting and indexing information required for documents deposited into DTIC.

**Research** - All efforts directed toward increased knowledge of natural phenomena and environment, and efforts directed toward the solution of long term defense problems in physical, engineering, life, behavioral, and social sciences.

**Research, Development, Test, and Evaluation (RDT&E) Activity** - Any activity sponsoring or performing a function or mission in direct support of DoD RDT&E programs.

**SBIR** - acronym for **Small Business Innovation Research Program**

**Scientific and Technical Information (STINFO)** - Information which relates to research, development, engineering, test, evaluation, production, use, and maintenance of military equipment, supplies, and munitions.

**Scientific and Technical Information Program (STIP)** - The DoD coordinated structure for the handling of scientific and technical information. The concepts and responsibilities of this program are detailed in DoD Directive 3200.12.

**Secondary Distribution** - Any distribution of a scientific or technical document subsequent to the initial distribution, usually occurring as the result of a request, and usually handled by DTIC or NTIS.

**Security and Policy Review** - Review of information for public release carried out by a Public Affairs Office prior to release.

**Small Business Innovation Research Program (SBIR)** - A government-wide program that sets aside a small percentage of all R&D monies for small businesses providing technological services. Needs are specified in specific solicitations, and contracts are awarded from these solicitations.

**Sponsoring DoD Activity** - The DoD activity or office directly responsible for initiating or supervising a program established by a contract, grant, or study agreement.

**STINFO** - acronym for **Scientific and Technical Information**

**STIP** - acronym for **Scientific and Technical Information Program**

**Technical Document or Publication** - Any document that contains technical information.

**Technical Information** - Information, including scientific information relating to RDT&E, engineering, production, operation, use/maintenance of munitions and other military supplies and equipment.

**Technology** - All scientific or engineering efforts directed toward eliminating technical barriers and providing solutions to technical problems encountered in RDT&E programs.

**U.S.C.** - acronym for **United States Code**

**United States Code (U.S.C.)** - The listing of all United States Statutes of a permanent and general nature. Basically, the "laws of the land."

**US Munitions List** - An enumeration of the arms, ammunition, and other defense materials covered by the ITAR. This list is part of the ITAR and is found in 22 CFR Part 121.

**Work Unit** - The smallest segment into which research or technology efforts are divided for local administration or control.

**Work Unit Information System (WUIS)** - A system for the reporting, storage, and retrieval of technical and management data on DoD research and technology efforts at the work unit level; the information in the system is developed at the working level.

**Work Unit Summary** - The set of data elements that describes for each work unit what, where, for whom, by whom, for how long, for how much, and the progress of the R&T being reported. The information contained on DD Form 1498.

**WUIS** - acronym for **Work Unit Information System**





## **Appendices**

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- A. AFR 83-1 (USAF Scientific and Technical Information Program)
- B. AFR 83-2 (AF Technical Publications Program)
- C. Sample DD Form 1498 (Work Unit Summary)
- D. Sample Standard Form 298 (Report Documentation Page)
- E. Sample DD Form 271 (IR&D Data Sheet)
- F. Sample DTIC Form 55 (Request for Limited Document)
- G. Sample DD Form 1423 (Contract Data Requirements List)
- H. Sample DI-MISC-80711 (Data Item Description)



1 December 1988

Scientific and Technical Information

USAF SCIENTIFIC AND TECHNICAL INFORMATION PROGRAM

This regulation describes the Air Force Scientific and Technical Information (STINFO) program, explains its organization and operations, and how to manage STINFO resources to effectively reach STINFO goals. It implements DOD Directive 3200.12, 15 February 1983 (attachment 2). It particularly guides STINFO program managers in helping their commanders with the everyday problems of producing, protecting, and controlling dissemination of technical data, and supporting the information needs of individuals within the organization. The regulation includes policies, procedures, administrative practices, and management guidance concerning the Air Force STINFO program functions. This regulation does not apply to those activities identified in AFR 800-44, Contracted Advisory and Assistance Services (CAAS), and AFR 11-28, Management of Air Force Studies. Also, it does not apply to the US Air Force Reserve and Air National Guard units and members.

1. **Introduction.** A strong science and technology base is a national necessity in a competitive world, and adequate communication is a prerequisite. An individual resorts to an information system if it will save time to do so rather than undertake a repetitious experiment or investigation. The three components to an effective information service are the sources, the users, and the professional information specialists who bind the whole system together. Cooperation by all concerned with research, engineering, and production efforts is vital to a successful program.

a. The Weinberg Report, published in 1963, is the basis of the established Air Force STINFO Program. This report dictates that transfer of information is an inseparable part of research and development. All those concerned with research and engineering efforts -- individual scientists and engineers, industrial and academic research establishments, technical societies, and Government agencies--must accept responsibility for the transfer of information in the same degree and spirit that they accept responsibility for research and engineering itself.

b. The Air Force recognizes the necessity of information exchange and will interchange technology and information with the public and

private sectors, including academia. This interchange is essential to the readiness of the Air Force, recognizing that technologies developed for civilian applications have potential for application in the military and vice versa. The sharing of scientific technical data has improved the efficiency of management activities at all levels, from policy and staff elements to scientists and engineers in field activities and industries, and has helped to eliminate undesired duplication.

2. **Concept of the USAF STINFO Program.** The USAF STINFO program provides for the interchange of scientific and technical information within and among Air Force organizations, DOD components, federal agencies, government contractors, and the national and international scientific and technical community.

a. The Air Force STINFO program is established to provide information support to:

(1) Improve mission effectiveness.

(2) Improve the scope and effectiveness of collecting, producing disseminating, and applying scientific and technical information. The overriding priority of the STINFO program is to ensure that all scientific and technical data concerning Air Force research, engineering, and

Supersedes AFR 80-40, 6 October 1982. (See signature page for summary of changes).

No. of Printed Pages: 5

OPR: SAF/AQT (Mr Walter Blados)

Approved by: SAF/AQX (Brig Gen Thomas W. Honeywill)

Distribution: F

production efforts are reviewed for controlled dissemination, and is rapidly and effectively exchanged within the research development and engineering communities throughout the DoD and industry.

(3) Support the information needs of managers, scientists, engineers, and technicians.

(4) Increase productivity and effectiveness of research and engineering programs.

(5) Improve our military capabilities through research and application of new technologies.

(6) Maximize use of R&D resources.

(7) Facilitate domestic technology transfer.

b. The Defense Technical Information Center (DTIC) assists in carrying out the Air Force and DOD STINFO program policy and performs technical information support services for the Air Force.

**3. Participation in the USAF STINFO Program.** Each organization listed below must establish a STINFO program and assign a STINFO Program Manager.

- a. Air Force Systems Command.
- b. Air Force Space Command.
- c. Air Force Logistics Command.
- d. Electronic Security Command.
- e. Air Training Command.
- f. Air University Command.
- g. Air Force Academy.
- h. Military Airlift Command.
- i. Strategic Air Command.
- j. Tactical Air Command.
- k. Air Force Communication Command.
- l. Air Force Operational Test and Evaluation Center.
- m. Air Force Technical Applications Center.

Besides a primary STINFO office that reports to the headquarters organization, the commander should establish other STINFO offices at subordinate activities, as necessary.

#### **4. STINFO Program Responsibilities:**

a. Program Management and Responsibilities. SAF/AQT is the office of primary responsibility (OPR) for the Air Force STINFO program and is the single focal point required by DOD Directive 3200.12. SAF/AQT responsibilities are to:

(1) Issue and maintain Air Force STINFO regulations.

(2) Coordinate the Air Force STINFO program with the Contractor Data Management program, the Foreign Disclosure Office, the Freedom of Information Office, the Public Affairs program, the Technical Intelligence program, Air Force Library program, Studies Management and Contracted Advisory and Assistance Services Office, and pertinent portions of command and control programs.

(3) Make planning and technical requirements information available through Air Force Information for Industry Offices, so that industry can plan and apply its resources effectively.

(4) Make technical information on selected technologies available through Information Analysis Centers (IACs) to support the DOD mission.

(5) Review STINFO needs continually, and, as proper, make revisions to existing programs.

(6) Establish an active technology transfer program consistent with the Air Force mission.

(7) Set up procedures for the release of production and engineering information to potential contractors.

(8) Provide guidance on the management of the STINFO portion of the Work Unit Information System.

b. Implementing Organizations and Activities Responsibilities. In establishing the STINFO program, each commander must:

(1) Assign a STINFO Program Manager as a primary duty assignment. Organizations requiring only a part-time STINFO office may combine this function with related activities; however, the STINFO function must be the incumbent's primary responsibility.

(2) Notify SAF/AQT through command reporting channels, the name of the STINFO program manager and any changes as they occur.

(3) Be sure all production, engineering, logistics, scientific, and technical data is properly reviewed and marked to provide dissemination controls.

(4) Be sure that all significant scientific or technological observations, findings, recommendations, and results derived from Air Force endeavors, including those generated under contract or grants that are pertinent to the Air Force mission, contribute to the DOD, or national: scientific or technological base, are recorded as technical documents and distributed as appropriate. Such documentation shall be prepared and distributed without undue delay and according to established standards for docu-

ment format, distribution, security marking, and reproducibility, as specified in appropriate Air Force and DOD issuances or procedural guidance. Alternatively, if physical control and secondary distribution of a technical document by an established secondary distribution activity (such as the DTIC or an IAC) is not appropriate, the authoring or sponsoring activity should submit a bibliographic description to DTIC to report the nature and existence of the document.

(5) Operate and support activities for the input of data to centralized DOD data bases of bibliographic and R&D program-related information, and ensure the accuracy and currency of data base content and reporting, in accordance with established data element standards, authorities, and input procedures.

(6) Provide applicable technical information documents on primary distribution to major technical libraries, DTIC, and IACs.

(7) Sponsor or support technical meetings to disseminate STINFO when the need exists to release the information more rapidly than publishing procedures permit.

(8) Establish an Office of Research and Technology Applications (ORTA) to handle a domestic technology transfer program for the organization or activity, so that Air Force developed technology is available to state and local governments and private industry.

(9) Encourage scientists and engineers to take part in technical meetings, to exchange technical information by the interchange of personal visits, and to contribute technical journal articles.

(10) Establish and maintain technical libraries, as required, in support of an organization's mission.

(11) Review the STINFO program policy and provide operational support including programming, funding, accounting, and reporting for those services maintained by the STINFO office.

**c. STINFO Program Manager Duties.**

(1) Set up procedures to provide or obtain scientific and technical information services to meet the needs of the organization.

(2) Provide support to the organizational commander for a domestic technology transfer program. The STINFO Program Manager shall be responsible for the Office of Research and Technology Application (ORTA) function.

(3) Be sure that activities of the STINFO program are closely coordinated with efforts in

the Data Management program. Be sure that STINFO needs are accurately specified on DD Forms 1423, Contract Data Requirements List, and that contractor-generated data products are entered in the STINFO system.

(4) Establish procedures to ensure all technical data produced within the organization is reviewed and properly marked to control secondary distribution.

(5) Establish a technical publications program to ensure timely publication of technical documents. Ensure the qualitative review of technical publications. The review will cover technical pertinence of the content, adherence to report writing standards, inclusion of meaningful title, abstract and key words, and the initial distribution list (including distribution limitations).

(6) Maintain close liaison with Air Force foreign technology specialists to ensure that foreign research results are available to Air Force scientists, engineers, and managers.

(7) Ensure the timely input of data into prescribed databases, for example, the Work Unit Information System, and Technical Report databases at the Defense Technical Information Center, to keep them current and complete.

(8) Monitor the operation of Information Analysis Centers supported by his or her organization (if applicable).

(9) Plan methods to improve STINFO systems and procedures. Schedule and participate in meetings to discuss problems pertinent to the STINFO Program.

(10) Conduct a continuous indoctrination program to inform scientists, engineers, and managers of their responsibilities to the STINFO program and to inform them of available STINFO products and services.

(11) Help plan technical meetings; become familiar with foreign disclosure procedures when foreign nationals are invited to take part in meetings. Report on planned meetings and insure interested personnel are informed of such meetings.

(12) Submit plans for improvements in STINFO services, to include internal changes, the knowledge of which may benefit other Air Force organizations.

(13) Provide for interest profiles for the selective dissemination of information. DTIC's program of selective dissemination of information to organizations will require a program to further disseminate the information to the individual user. To accomplish this, the STINFO

Offices should develop and maintain profiles of interest to its technical personnel. While the methods for maintaining such profiles and selecting incoming documents will vary with the size and mission of the organization (in some cases a computer program may be required), it is the daily person-to-person contact between the STINFO Office and the technical personnel, with its continuing feedback, that is fundamental to the validity of such a program. Another factor that is vital to the program is the scientist-to-scientist, scientist-to-engineer, or scientist-to-manager contact.

(14) Be aware of RDT&E efforts which may have an impact on STINFO.

(15) Assure that all RDT&E contracts/grants policies include appropriate

instructions regarding the generation and reporting requirements of STINFO.

(16) Provide technical library services consistent with user requirements.

(17) Insure currency and effective coverage of primary distribution lists.

(18) Provide for the collection, storage and secondary distribution of those technical documents which have not been provided to the DTIC because of distribution limitations. Be sure bibliographic descriptions of these documents are reported and contained in the DTIC data bases.

(19) Collect data on the effectiveness of the program. Meaningful data are needed to measure the performance of organization regarding the acceptance and discharge of thier STINFO responsibilities.

BY THE ORDER OF THE SECRETARY OF THE AIR FORCE

OFFICIAL

LARRY D. WELCH, General, USAF  
Chief of Staff

WILLIAM O. NATIONS, Colonel, USAF  
Director of Information Management  
and Administration

2 Attachments  
1. Terms Explained  
2. DOD Directive 3200.12,  
15 February 1987

#### SUMMARY OF CHANGES

This revision changes the office of prime responsibility for the STINFO program from HQ AFSC/DL to SAF/AQT (title page); defines the role of and duties of the STINFO Program Manager more extensively (para 4c); and revises definitions (atch 1).

## TERMS EXPLAINED

**Abstract.** A brief, factual summary of the most significant information contained in a document.

**Controlled Information.** Any information subject to official restrictions on its dissemination, including information subject to protection:

- (a) By security regulations.
- (b) For proprietary, ethical, privileged, or certain administrative reasons.
- (c) By the militarily critical technologies against unauthorized disclosure.
- (d) Of certain official information.
- (e) For reasons requiring special access controls prescribed by other Air Force regulations and Department of Defense (DOD) directives or instructions.

**Controlling Department of Defense (DOD) Office.** The DOD activity under whose immediate program a document is generated, whether the work was done in-house or by contract.

**Data Management Program.** The Air Force program for managing and controlling data acquired from industry under the terms of Air Force contracts (AFR 310-1). The management of technical publications emanating from the Data Management program is a joint responsibility of the Data Management Program Manager and the STINFO Program Manager.

**Defense Technical Information Center.** The Defense Technical Information Center (DTIC), under the operational control of the Defense Logistics Agency (DLA), provides for acquisition, storage, announcement, retrieval, and secondary distribution of technical documents. Its four computerized data bases contain information on current research, development, test and evaluation (RDT&E) program elements, projects, and tasks for ongoing as well as completed efforts.

**Distribution Statement.** A statement used on a technical document that denotes conditions of availability for distribution, release, or disclosure (AFR 80-45).

**Potential Contractor.** An individual or organization outside the Department of Defense (DOD) declared eligible for documentation services, based on registration and active participation in a program designed to exchange information on defense support capabilities, namely the Air Force Potential Contractor Program, or certain Army and Navy programs.

**Primary Distribution.** The initial distribution of scientific or technical documents to a list of recipients determined by the controlling Department of Defense (DOD) office.

**Scientific and Technical Information (STINFO).** Information relating to research, development, engineering, testing, evaluation, production, operation, use, and maintenance for military products, services, and equipment for military systems. This includes all production, engineering, and logistics information.

**Scientific or Technical Library.** An authorized library in support of an activity's mission. It acquires, organizes, houses, retrieves, and disseminates information and information materials; performs reference and research services in direct support of the activity's mission; and may provide all or any of the following services: analysis, current awareness, literature searching, translations and referral.

**Secondary Distribution.** Any distribution or disclosure of a scientific or technical document following primary distribution, usually based on a request.

**Technical Document.** Any recorded information or data, regardless of its physical form or characteristics, which contains scientific and technical information or technical data including production, engineering, and logistics information.

**Technical Information Center.** An organization tasked to receive, process, and distribute scientific and technical information as a service to internal and external users; may include, but not necessarily limited to, report preparation, primary production and distribution of documents, technical editing, graphic arts, still and motion photography, and technical library and information analysis functions.

**Technical Publication.** Any technical document written for the permanent record to document results obtained from, or recommendations made on, scientific and technical activities.





15 June 1989

## Scientific and Technical Information

### AIR FORCE TECHNICAL PUBLICATIONS PROGRAM

This regulation provides policy and assigns responsibilities for the Air Force Technical Publications Program. It also gives rules for writing, processing, distributing, and publishing technical publications generated in-house or by contract, subcontract, or grant. It applies to all Air Force organizations generating scientific and technical information. It does not apply to intelligence documents that the Foreign Technology Division produces, which are governed by Defense Intelligence Agency Manual (DIAM) 75-1. This regulation does not apply to the Air National Guard or US Air Force Reserve.

**1. Purpose of the Technical Publications Program.** The processes of the scientific and technical information (STINFO) program are used to communicate STINFO to plan and conduct Department of Defense (DOD) research, development, test, and evaluation (RDT&E) and other technical engineering and studies efforts. The performance of these program efforts is not considered complete until the STINFO has been documented satisfactorily and provided to appropriate distribution activities.

**2. Policy of the Technical Publications Program.** All significant scientific or technological observations, findings, recommendations, and results derived from DOD efforts must be recorded as technical publications and contributed to the national scientific or technological information data base.

a. Establish internal and contractual procedures to be sure that copies of such publications are made available to the research and engineering (R&E) community (including supporting technical libraries, the Defense Technical Information Center (DTIC) Cameron Station, Alexandria VA 22304-6145; and appropriate information analysis centers (IAC)) within established security and distribution limitation controls.

b. Prepare and distribute such documentation without undue delay and according to es-

tablished standards for document format, distribution, security classification of the information, and reproducibility.

c. Make every effort to prepare technical publications for the widest dissemination possible. To provide such information for public use, clear the publication for public release through the public affairs office.

**3. Types of Technical Publications.** Results of scientific or technical efforts may be published in a variety of ways. The decision on how to publish is normally left to the discretion of the author, in conjunction with the assigned STINFO program manager. Do not base such decisions, however, on an arbitrary performance for a given method, but rather on the nature of the information and its need by the Air Force and other DOD organizations and their contractors. Technical publications include, but are not limited to, the following categories:

a. **Technical Report (TR).** A document in which the organization takes a formal position. Prepare TRs when an effort is completed, or to report on a major phase of an effort. Consider journal articles as TRs and encourage publication in professional journals.

b. **Conference Proceedings (CP).** A compilation of presentations, lectures, or papers delivered at a meeting, symposium, conference, convention, etc.

No. of Printed Pages: 5  
OPR: SAF/AQT (Mr. Walter Blados)  
Approved by: Brig Gen John W. Douglass  
Writer-Editor: Helen Miller  
Distribution: F

c. **Special Report (SR).** A document directed toward a specific user.

d. **Technical Memorandum (TM), Technical Note (TN), or Technical Paper (TP).** Publications that record interim or partial results of an effort to document Air Force needs, operational requirements, and science and technology objectives.

#### **4. Responsibilities for the Technical Publications Program:**

a. SAF/AQT manages the Air Force technical publication program as an integral part of the Air Force STINFO program.

b. The responsible Air Force organization appoints a STINFO program manager to manage the technical publications program.

c. The STINFO program manager:

(1) Makes sure reports are written, received, published, and initially distributed by:

(a) Establishing procedures to ensure the results of technical efforts are documented in technical publications as prescribed by this and other applicable regulations, regardless of whether the results are conclusive and the work is done in-house, by grant, or by contract.

(b) Specifying the technical data contractors must deliver according to AFR 310-1. Normally, there will be at least one technical publication for each RDT&E effort.

(c) Ensuring that the DD Form 250, Material Inspection and Receiving Report, is not signed until the camera-ready copy is accepted.

(d) Ensuring procedures are established to edit and process the technical publications.

(e) Establishing a suspense system that will track and record the progress of anticipated technical publications from before the due date of the original draft through printing.

(2) Informs DTIC of any changes that occur in technical publications.

#### **5. Classifying and Restricting Distribution of Technical Publications:**

a. Ordinarily, except for information that meets the definition of restricted data, do not classify basic scientific research or its results. However, classification is appropriate if the information concerns an unusually significant scientific breakthrough and there is sound reason to believe that it is not known or within the state-of-the-art of other nations, and, thereby, provides the United States with an advantage directly related to national security. When security classification is warranted based upon

the information contained or revealed by the technical publication, follow the security classification provisions of DOD 5200.1-R/AFR 205-1.

b. Assign an unlimited distribution authorization to the publication unless dissemination is restricted because of security classification or other information sensitivities. In the latter instance, place a word-for-word distribution statement from AFR 80-45 on the outside front cover.

c. Include information that would restrict the distribution of a report only when the information is necessary to understand the report.

d. Do not reference classified documents in unclassified reports with an unlimited distribution statement.

**6. Copyrighted Material.** Include brief excerpts from copyrighted materials according to AFR 110-8.

**7. Assigning Numbers to Technical Publications.** Assign a number to all technical publications according to American National Standards Institute Standard (ANSI-STD) Z39.18, Scientific and Technical Reports: Organization, Preparation and Production. This number is divided into four parts (e.g., AMD-TR-87-01):

a. The organization's short title as listed in AFR 4-16.

b. A two letter publications series identifier.

c. The last two digits of the calendar year in which the number is assigned.

d. A sequential Arabic number that shows the number of reports that have been published in the calendar year. Begin with 1 for the first technical publication of the calendar year within each series.

**8. Title Pages.** For all publications use SF 298, Report Documentation Page, as the title page. Complete this form according to ANSI-STD Z39.18.

**9. Special Notices on Technical Publications.** Responsible Air Force organizations, contractors, and grantees will structure reports according to ANSI-STD Z39.18 and AFR 6-1 and use the following rules:

a. For all publications:

(1) Put a review and approval statement, such as the one in figure 1, on the inside front cover

This report has been reviewed and is approved for publication.

\_\_\_\_\_  
Name and Grade  
Project Engineer or  
Scientist

\_\_\_\_\_  
Name and Grade  
Supervisor

\_\_\_\_\_  
FOR THE COMMANDER

### Figure 1. Review and Approval Statement.

(2) Include on the inside or outside front cover, as appropriate, one or more of the following statements:

(a) Publication of this report does not constitute approval or disapproval of the ideas or findings. It is published in the interest of STINFO exchange.

(b) When government drawings, specifications, or other data are used for any purpose other than in connection with a definite government-related procurement, the US Government incurs no responsibility or any obligation. The fact that the government may have formulated or in any way supplied the said drawing, specifications, or other data is not to be regarded by implication, or otherwise in any manner construed, as licensing the holder, or any other person or corporation; or as conveying any rights or permission to manufacture, use, or sell any patented invention that may, in any way, be related thereto.

(c) If you change your address, wish to be removed from the mailing list, or your organization no longer employs the addressee, please notify (insert the appropriate organization and address).

(d) Do not return copies of this report unless contractual obligations or notice on a specific document requires that it be returned.

b. For reports that contain export control data, put on the outside front cover immediately below the distribution statement the following notice:

**"WARNING - THIS DOCUMENT CONTAINS TECHNICAL DATA WHOSE EXPORT IS RESTRICTED BY THE ARMS EXPORT CONTROL ACT (TITLE 22, U.S.C., SEC 2751, ET SEQ.) OR THE EXPORT ADMINISTRATION ACT OF 1979, AS AMENDED (TITLE 50,**

**U.S.C., APP. 2401, ET SEQ.). VIOLATIONS OF THESE EXPORT LAWS ARE SUBJECT TO SEVERE CRIMINAL PENALTIES. DISSEMINATE IN ACCORDANCE WITH THE PROVISIONS OF AFR 80-34."**

c. For classified publications, mark each paragraph with a security classification (DOD 5200.1-R/AFR 205-1) and include a distribution list in the report. Place the "Classified By," downgrading, and declassification statements on the front cover.

### 10. Handling Contractor-Imposed Legends That Restrict the Report's Distribution:

a. Show limited rights legends to the contracting officer or designee. That person must decide if the contract authorizes the use of such legends. Even if the legends appear to be totally unauthorized, you should respect them until the contracting officer decides what to do.

b. If, in the future, the publication will be distributed outside the government and if the legends have not been justified according to the DOD Supplement of the Federal Acquisition Regulation (DFARS), ask the contracting officer to require the contractor to justify the legends.

c. If the publication will not be distributed outside the government or if the government lacks the resources to investigate the contractor's claim that the legends are justified, the government may honor the legends without an investigation. If such is the case, ask the contracting officer to advise the contractor as follows: "The presence of legends that limit the government's rights to use the (name of the technical publication) is noted. The government will observe these restrictions for the present time, even though an investigation has not been made as to the propriety of the legends. This action is without prejudice to the government's rights to later question the legend."

### 11. Rules for Distributing Technical Publications to DTIC:

a. Send technical publications to the DTIC, except for the following:

(1) Reports that are classified as TOP SECRET, that are cryptographic or registered, or contain certain designated categories of intelligence or information furnished by a foreign government that forbid the report's dissemination.

(2) Management reports that contain non-technical information about a project and the

administrative details necessary for managing the project.

(3) Documents that may be technical but are used by the originating activity only, such as working reports

b. Send two copies of each publication to DTIC along with DTIC Form 50, DTIC Accession Notice, or send one legible copy and request its return after reproduction. DTIC Forms 50 are stocked at DTIC, Cameron Station, Alexandria VA 22304-6145.

c. To announce articles published in scientific or technical journals, submit only the SF 298 to DTIC.

**12. Distributing Technical Publications.** Distribute technical publications as widely as possible, consistent with security and distribution requirements and the following rules

a. Make primary distribution to:

(1) Air Force, DOD, other federal organizations, and contractors who need the information to continue with an Air Force project.

(2) AUL/LSE, Maxwell AFB AL 36112-5564, according to AFR 5-14.

(3) SAF/AQ, Wash DC 20330-1000. Send one copy of each publication that documents results of research funded by PE 61101F.

(4) The Director, National Security Agency (P2213), Ft George G. Meade MD 22705-5000, if the report contains:

(a) Communications Intelligence (COMINT) RDT&E.

(b) Electronic Intelligence (ELINT), SECRET or below.

(c) Communications Security (COMSEC).

(5) Foreign addressees in non-Communist countries if the report has been officially reviewed and approved for open publication.

b. Do not distribute classified STINFO reports to recipients who simply indicate they have an "interest" in the general subject matter without first evaluating their clearance and access authorizations, need-to-know, and ability to properly store classified material. Additionally, the users of standing distribution lists for dissemination of classified documentation must review such lists annually (DOD 5200 1-R/AFR 205-1).

c. Limit the distribution of reports containing export-controlled data only to qualified contractors certified and registered with the De-

fense Logistics Services Center (DLSC) (AFR 80-34).

d. Review and verify unclassified distribution lists periodically.

e. Refer requests for copies to DTIC or the National Technical Information Service (NTIS), 5285 Port Royal Road, Springfield VA 22161-2103, as appropriate, after primary distribution has been made.

**13. Preparing Technical Publications Involving Other Organizations.** When technical efforts are performed by more than one organization, the tasking document will specify who is to prepare and publish the technical publication. You may use the collaborating organization's publication identifier, in addition to your own.

**14. Reproducing Technical Publications.** Reproduce reports according to AFR 6-1.

**15. Controlling Distribution Statements.** The organization that caused the work to be done will control the distribution statement and will be considered the controlling DOD office of primary responsibility (OPR). Include the responsible Air Force organization's short title and OPR's or STINFO office's functional address symbol (FAS) for distribution statements B, C, D, F, or X. When practical, use the STINFO's FAS rather than the controlling office's FAS.

**16. List of Abbreviations:**

a. ANSI-STD -- American National Standards Institute Standard

b. DOD -- Department of Defense

c. DTIC -- Defense Technical Information Center

d. FAS--functional address symbol

e. OPR -- office of primary responsibility.

f. RDT&E -- research, development, test, and evaluation

g. STINFO -- scientific and technical information

h. TR -- technical report

**17. Forms Prescribed.** SF 298, Report Documentation Page, and DTIC Form 50, DTIC Accession Notice, are prescribed by this regulation.

BY ORDER OF THE SECRETARY OF THE AIR FORCE

OFFICIAL

LARRY D. WELCH, General, USAF  
Chief of Staff

WILLIAM O. NATIONS, Colonel, USAF  
Director of Information Management  
and Administration

• U. S. GOVERNMENT PRINTING OFFICE: 1989-240-979:82305



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2.		2.		2.		
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USE FOLLOWING SPACE FOR CONTINUATION OF DESCRIPTION OR ADDITION OF OTHER ELEMENTS. PRECEDE EACH ENTRY WITH THE ELEMENT NAME AND SECURITY CLASSIFICATION AND 'AS OF DATE' AS APPROPRIATE.						
<div style="display: flex; justify-content: space-between; margin-bottom: 20px;"> <span>PROGRESS:</span> <span>CLASSIFICATION: <input type="checkbox"/> U <input type="checkbox"/> C <input type="checkbox"/> S</span> <span>AS OF DATE:</span> </div>						



# REPORT DOCUMENTATION PAGE

Form Approved

OMB No. 0704-0188

Public reporting burden for this collection of information is estimated to average 1 hour per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to Washington Headquarters Services, Directorate for Information Operations and Reports, 1215 Jefferson Davis Highway, Suite 1204, Arlington, VA 22202-4302, and to the Office of Management and Budget, Paperwork Reduction Project (0704-0188), Washington, DC 20503.

1. AGENCY USE ONLY (Leave blank)		2. REPORT DATE		3. REPORT TYPE AND DATES COVERED	
4. TITLE AND SUBTITLE				5. FUNDING NUMBERS	
6. AUTHOR(S)					
7. PERFORMING ORGANIZATION NAME(S) AND ADDRESS(ES)				8. PERFORMING ORGANIZATION REPORT NUMBER	
9. SPONSORING / MONITORING AGENCY NAME(S) AND ADDRESS(ES)				10. SPONSORING / MONITORING AGENCY REPORT NUMBER	
11. SUPPLEMENTARY NOTES					
12a. DISTRIBUTION / AVAILABILITY STATEMENT				12b. DISTRIBUTION CODE	
13. ABSTRACT (Maximum 200 words)					
14. SUBJECT TERMS				15. NUMBER OF PAGES	
				16. PRICE CODE	
17. SECURITY CLASSIFICATION OF REPORT		18. SECURITY CLASSIFICATION OF THIS PAGE		19. SECURITY CLASSIFICATION OF ABSTRACT	
				20. LIMITATION OF ABSTRACT	

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## GENERAL INSTRUCTIONS FOR COMPLETING SF 298

The Report Documentation Page (RDP) is used in announcing and cataloging reports. It is important that this information be consistent with the rest of the report, particularly the cover and title page. Instructions for filling in each block of the form follow. It is important to *stay within the lines* to meet optical scanning requirements.

**Block 1. Agency Use Only (Leave blank).**

**Block 2. Report Date.** Full publication date including day, month, and year, if available (e.g. 1 Jan 88). Must cite at least the year.

**Block 3. Type of Report and Dates Covered.** State whether report is interim, final, etc. If applicable, enter inclusive report dates (e.g. 10 Jun 87 - 30 Jun 88).

**Block 4. Title and Subtitle.** A title is taken from the part of the report that provides the most meaningful and complete information. When a report is prepared in more than one volume, repeat the primary title, add volume number, and include subtitle for the specific volume. On classified documents enter the title classification in parentheses.

**Block 5. Funding Numbers.** To include contract and grant numbers; may include program element number(s), project number(s), task number(s), and work unit number(s). Use the following labels:

C - Contract	PR - Project
G - Grant	TA - Task
PE - Program Element	WU - Work Unit Accession No.

**Block 6. Author(s).** Name(s) of person(s) responsible for writing the report, performing the research, or credited with the content of the report. If editor or compiler, this should follow the name(s).

**Block 7. Performing Organization Name(s) and Address(es).** Self-explanatory.

**Block 8. Performing Organization Report Number.** Enter the unique alphanumeric report number(s) assigned by the organization performing the report.

**Block 9. Sponsoring/Monitoring Agency Name(s) and Address(es).** Self-explanatory.

**Block 10. Sponsoring/Monitoring Agency Report Number.** (If known)

**Block 11. Supplementary Notes.** Enter information not included elsewhere such as: Prepared in cooperation with...; Trans. of...; To be published in.... When a report is revised, include a statement whether the new report supersedes the older report.

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**Block 12a. Distribution/Availability Statement.** Denotes public availability or limitations. Cite any availability to the public. Enter additional limitations or special markings in all capitals (e.g. NOFORN, REL, ITAR).

DOD - See DoDD 5230.24, "Distribution Statements on Technical Documents."

DOE - See authorities.

NASA - See Handbook NHB 2200.2.

NTIS - Leave blank.

**Block 12b. Distribution Code.**

DOD - Leave blank.

DOE - Enter DOE distribution categories from the Standard Distribution for Unclassified Scientific and Technical Reports.

NASA - Leave blank.

NTIS - Leave blank.

**Block 13. Abstract.** Include a brief (*Maximum 200 words*) factual summary of the most significant information contained in the report.

**Block 14. Subject Terms.** Keywords or phrases identifying major subjects in the report.

**Block 15. Number of Pages.** Enter the total number of pages.

**Block 16. Price Code.** Enter appropriate price code (*NTIS only*).

**Blocks 17. - 19. Security Classifications.** Self-explanatory. Enter U.S. Security Classification in accordance with U.S. Security Regulations (i.e., UNCLASSIFIED). If form contains classified information, stamp classification on the top and bottom of the page.

**Block 20. Limitation of Abstract.** This block must be completed to assign a limitation to the abstract. Enter either UL (unlimited) or SAR (same as report). An entry in this block is necessary if the abstract is to be limited. If blank, the abstract is assumed to be unlimited.

ALL INFORMATION ON THIS DATA SHEET MUST BE UNCLASSIFIED

INDEPENDENT RESEARCH AND DEVELOPMENT DATA SHEET				Form Approved: Office Management and Budget Approval No. 0704-011 Exp. Date 12-31-88	
<small>Information in Fields 4, 5, 9, 10, 13, 15-20, and 21-24 is furnished by the company designated in Field 6, in accordance with the claims that: (a) it falls within the exception under subsection (b), 41 of 5 U.S.C. 552, and (b) it is subject to 18 U.S.C. 1905. The information contained herein is furnished for the sole purpose of identifying the subject program, and the DoD shall, except as required by the resolution of litigation or the direction of preeminent authority (e.g., The President, Congress, Justice Department) preclude disclosure to other than duly authorized Government Personnel. Any authorized reproduction or disclosure of the information contained herein, in whole or in part, shall include this notice.</small>					
A. ACCESSION NUMBER	B. TRANSACTION TYPE	1. TECH PLAN FY	2. REPORT DATE	3. REPORT TYPE	4. PROJECT NUMBER
5. PROJECT TITLE					
6. ORGANIZATION NAME AND ADDRESS				6B. ORGANIZATION SOURCE CODE	
7. TECHNICAL PLAN FOCAL POINT NAME				TELEPHONE	
8. PLAN VOL/PG NO.	9. CATEGORY	10. SUBJECT FIELDS AND GROUPS			
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15A. MISSION AREAS		15B. FUNCTIONS			
15C. TECHNOLOGIES					
16. TECHNICAL CONTACT NAME				TELEPHONE	
RELATED PROJECTS	17. CURRENT YEAR			18. PREVIOUS YEARS	
19. KEYWORDS					
20. RELATED DoD DOCUMENTATION			20B. INTERESTED DoD ORGANIZATIONS		
21. PROBLEMS/22. OBJECTIVES/23. APPROACH/24. PROGRESS					
(Use reverse for continuation of any item)					



**DEFENSE TECHNICAL INFORMATION CENTER  
REQUEST FOR RELEASE OF LIMITED DOCUMENT**

NOTE: This form may be classified if necessary. See instructions on reverse.  
No carbon paper required in the completion of this form.

DTIC CONTROL NO.

USER ROUTING

SECTION I.  
REQUESTING ORGANIZATION

REQUESTING ORGANIZATION AND ADDRESS

DTIC USER CODE NO.

DATE OF REQUEST

TYPE COPY AND QUANTITY

☐ Paper Copy \_\_\_\_\_ Copy(s) ☐ Microform \_\_\_\_\_ Copy(s)

REGISTERED CONTRACT NUMBER

CONTRACT CLEARANCE

GOVERNMENT SPONSOR AND ADDRESS

METHOD OF PAYMENT (X ONE)

☐ Charge to NTIS Deposit Account No. \_\_\_\_\_  
☐ Bill My Organization to the Attention of: \_\_\_\_\_

SIGNATURE, TITLE, PHONE NUMBER OF REQUESTING OFFICIAL

CONTRACT MONITOR AND TELEPHONE NUMBER

AD NUMBER

NOTE: BIBLIOGRAPHY WILL BE ATTACHED BY DTIC FOR RELEASING AGENCY'S INFORMATION.

REQUIRED FOR (Explain need in detail, include applicable contracts)

REQUESTER JUSTIFICATION

**SECTION III.  
RELEASING AGENCY DECISION**

RELEASING AGENCY (Use Post Office Address Format)

- ☐ APPROVED FOR RELEASE TO THE ABOVE REQUESTER  
☐ APPROVED FOR RELEASE TO ALL REGISTERED DTIC USERS  
WITH ADEQUATE SECURITY CLEARANCE AND NEED-TO-KNOW  
☐ DISAPPROVED. REASON FOR DISAPPROVAL.

PRINTED NAME AND TITLE OF RELEASING OFFICIAL

TELEPHONE NO.

SIGNATURE

DATE

## INSTRUCTIONS

### A. DTIC REQUESTER (Complete Sections I and II)

1. Complete User Routing block, if desired, for your internal control purposes.
2. Contractors and Grantees must identify in Section I their government sponsor including an appropriate individual's name and telephone number.
3. Indicate type of copy and quantity requested in Section I. Microfiche will be supplied whenever possible if "Microform" is selected.
4. Indicate method of service charge payment in Section I, either as a charge to your NTIS deposit account or as a bill to your organization from NTIS. DTIC will not accept any form of prepayment with this request. (Service charge will be made only for documents approved for release.)
5. Requesting official must sign.
6. Enter the AD Number you are requesting in Section II. Bibliographic information about the document will be attached to the DTIC Form 55 by DTIC.
7. Explain in detail your requirement for the document. Include appropriate contract information and explain need-to-know.
8. If classified information must be included, CLASSIFY THIS FORM ACCORDINGLY
9. If the document requested is CNWDI, certification that you are currently approved for access to CNWDI information must either be on file at DTIC or furnished with this request.
10. Complete the Releasing Agency block. Please use post office format.
11. Do not include payment or order forms with this request. Retain "Requester's Copy" for your record and forward remaining three copies to:

DEFENSE TECHNICAL INFORMATION CENTER  
ATTN: DTIC-FDRS  
CAMERON STATION  
ALEXANDRIA, VIRGINIA 22304-6146

### B. RELEASING AGENCY (Complete Section III)

1. Review the request. Contractor or Grantee government sponsor identification and contact point is included in Section I for your use, if necessary.
2. If approved only for specific requester identified in Section I, check that approval block, type name and title, sign and enter date in Section III. Retain "Releasing Agency's Copy" and return remaining copy to DTIC.
3. If approved for all DTIC users, check that approval block, type name and title, sign and enter date in Section III. Retain "Releasing Agency's Copy" and return remaining copy to DTIC. NOTE: When this block is checked the existing distribution limitation assigned to the report is retained, but you are giving DTIC the authority to release your limited document to all registered DTIC users who are cleared for the security level and subject area of the document.
4. If disapproved, check disapproval block, type name and title, sign, enter date and explain reason for disapproval in Section III. Retain "Releasing Agency's Copy" and return remaining copy to DTIC.
5. You may retain the Bibliography for your own files.
6. As directed by OUSDR&E(R&AT), DoD releasing agencies should:
  - a. Complete this form and return it to DTIC within 15 days.
  - b. Reexamine the need for a limited distribution statement on this document and, if possible, authorize its removal. To document this review, a memorandum indicating that the limitation statement can be removed or explaining why it cannot be removed should also be sent to DTIC.

17	WAGE GROUP
18	ESTIMATE TOTAL WAGE

## INSTRUCTIONS FOR COMPLETING DD FORM 1423

### FOR GOVERNMENT PERSONNEL

This form (or its equivalent adapted for ADPE) shall be used whenever data is required to be delivered under a contract. The form (except Items 23 through 26) shall be completed in accordance with Departmental procedures, and furnished to the contracting officer by the personnel responsible for determining the data requirements of the contract.

### FOR THE CONTRACTOR

1. The estimated prices filled-in in Item 26 will not be separately used in evaluation of offers.
2. Each offeror may complete Items 23 and 24 in accordance with the following instructions:

Item 23. Contractor File/Document Number - Enter bidder's or offeror's internal filing or document number, if applicable.

Item 24. Estimated Number of Pages - Enter the estimated number of pages, drawings, etc., for single preparation.

3. Each offeror shall complete Items 25 and 26 in accordance with the following instructions (this does not apply to advertised contracts or to negotiated contracts under \$100,000).

Item 25. Price Group - Contractors shall specify one of the four following groups of effort in developing estimated prices for each item of data listed on the DD Form 1423.

- a. Group I. Definition - Data which is not otherwise essential to the contractor's performance of the primary contracted effort (production, development, testing, and administration) but which is required by DD Form 1423.

Estimated Price - Costs to be considered under Group I are those applicable to preparing and assembling the data item in conformance with Government requirements, and the administrative and other expenses related to reproducing and delivering such data items to the Government.

Example for Group I - A technical manual prepared for military use only. The estimated price of the manual would be noted on the DD Form 1423 exclusive of cost for any of the manual material that had been generated for other purposes (e.g., drawings used both for production and as illustrations in the manual).

- b. Group II. Definition - Data which is essential to the performance of the primary contracted effort but the contractor is required to perform additional work to conform to Government requirements with regard to depth of content, format, frequency of submittal, preparation, control or quality of the data item.

Estimated Price - Costs to be considered under Group II are those incurred over and above the cost of the essential data item without conforming to Government requirements, and the administrative and other expenses related to reproducing and delivering such data item to the Government.

Example for Group II - In the case of MIL-D-1000 Form I drawings (drawings to military standards), the estimated price of the data item begins only after the engineering and manufacturing information has been developed and the final form original drawings have been initiated. The estimated price shall not include the cost of configuration control, but shall include any additional quality assurance and control of the drawings but not related to engineering configuration control. Not to be considered is "design effort" expended on layout drawings and other data which serve principally as a medium for developing design and are not used in manufacture, production or test of the end item.

- c. Group III. Definition - Data which the contractor must develop for his internal use in performance of the primary contracted effort and does not require any substantial change to conform to Government requirements with regard to depth of content, format, frequency or submittal, preparation, control and quality of data.

Estimated Price - Costs to be considered under Group III are the administrative and other expenses related to reproducing and delivering such data item to the Government.

Example for Group III - A drawing prepared to Form 2 or 3 of MIL-D 10 (drawings to company standards) which had been used in the manufacturer's normal plant activities.

- d. Group IV. Definition - Data which is developed by the contractor as part of his normal operating procedures and his effort in supplying these data to the Government is minimal.

Estimated Price - Group IV items should normally be shown on the DD Form 1423 at no cost.

Example for Group IV - A brochure or short manual used in a company's normal commercial business, that is acquired by the Government in such small quantities that cost of determining a charge would not be practical.

### Item 26. Estimated Total Price.

- a. For each item of data listed, the bidder or offeror shall enter an amount equal to that portion of the total price which is estimated to be attributable to the production or development for the Government of that item of data. These estimated data prices shall be developed only from those costs which will be incurred as a direct result of the requirement to supply the data, over and above those costs which would otherwise be incurred in performance of the contract if no data were required.

- b. The estimated data prices shall not include any amount for rights in data. The Government's right to use the data shall be governed by the pertinent provisions of the contract.



# DATA ITEM DESCRIPTION

Form Approved  
OMB No 0704-0188

Scientific and Technical Reports

2. IDENTIFICATION NUMBER

DI-MISC -80711

## 3. DESCRIPTION/PURPOSE

3.1 Scientific and Technical Reports describe and disseminate to the analytical, scientific and technical community the precise nature and results of analytical studies, research, development, test and evaluation (RDT&E) on an assigned task(s). Scientific and Technical Reports may be definitive for the subject presented, exploratory in nature, or an evaluation of critical subsystem or of technical problems.

4. APPROVAL DATE  
(YYMMDD)

881202

5. OFFICE OF PRIMARY RESPONSIBILITY (OPR)

S/DD

5a. DTIC APPLICABLE

X

6a. GIDEP APPLICABLE

## 7. APPLICATION/INTERRELATIONSHIP

7.1 This DID contains the format requirements and preparation instructions for the information product generated by the specific and discrete task requirement as delineated in the contract.

7.2 This DID is applicable to the organization, preparation and production of technical publications.

7.3 This DID supersedes UDI-S-23272C, DI-S-4057 and DI-S-3591A.

7.4 Defense Technical Information Center (DTIC) Cameron Station  
Alexandria, VA 22304-6145

8. APPROVAL LIMITATION

9a. APPLICABLE FORMS

SF 298

9b. AMSC NUMBER

S4578

## 10. PREPARATION INSTRUCTIONS

10.1 Reference document. The applicable issue of the documents cited herein, including their approval dates and dates of any applicable amendments, notices, and revisions, shall be as specified in the contract.

10.2 Document format shall be in accordance with ANSI Z39.18 Scientific and Technical Reports: Organization, Preparation and Production.

10.3 Document content shall be clearly written, describe accomplishments and other facts adequately and with no technical errors, and be acceptable for release. If Scientific and Technical Reports when sent to DTIC are marked unclassified unlimited they should be accompanied by a letter certifying that they have been cleared for public release and sale; to include foreign nationals.

## 11. DISTRIBUTION STATEMENT

DISTRIBUTION STATEMENT A. Approved for public release  
USAF STINFO Overview - 109



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